



STATE OF TENNESSEE
DEPARTMENT OF GENERAL SERVICES

BILL HASLAM
GOVERNOR

ROBERT E. OGLESBY, AIA
COMMISSIONER

To: Ivan Greenfield

From: Cameron Himes

Re: Tennessee Department of Labor and Workforce Development revised subrecipient monitoring plan for FY 2015

Date: November 7, 2014

Dear Ivan:

The Central Procurement Office reviewed the revised subrecipient monitoring plan submitted by your agency containing the following changes:

1) Change Q3. Page 68

Has a veteran seeking any services been made aware of their entitlement to priority of service, and were they provided priority of service to adult program services?

2) Change Parameters to Q.3, page 68

Please check the priority status of veterans seeking services (referencing the Military Services form and DD214 as the attachment).

3) Military Service form attachment added, Page I 08.

These changes and monitoring plan are approved. Please contact me if you have any further questions.

Sincerely,

Cameron Himes

Grants Program Manager
Central Procurement Office
Department of General Services
WRS Tennessee Tower, 3rd floor
312 Rosa Parks Ave., Nashville, 37243
(615) 532 - 6871

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STATE OF TENNESSEE
DEPARTMENT OF LABOR AND WORKFORCE DEVELOPMENT
DIVISION OF WORKFORCE SERVICES
220 French Landing Drive
Nashville, TN 37243-1002
(615) 741-1031

November 7, 2014

Mr. Cameron Himes
Central Procurement Office
Department of General Services
3rd Floor, WRS Tennessee Tower
312 Rosa L. Parks Avenue
Nashville, TN 37243

Dear Mr. Himes:

Please find attached a revised 2015-16 Department of Labor and Workforce Development (TDLWD) Fiscal and Program Monitoring Plan to add the following:

- Change Q3. Page 68
Has a veteran seeking any services been made aware of their entitlement to priority of service, and were they provided priority of service to adult program services?
- Change Parameters to Q.3, page 68
Please check the priority status of veterans seeking services (referencing the Military Services form and DD214 as the attachment).
- Military Service form attachment added, Page 108.

Your attention in this matter is greatly appreciated. For additional information or comment, please contact me or Rubka Tamerat at (615) 741-6786.

Sincerely,

Ivan L. Greenfield, Director of Grants & Budgets
Division of Workforce Services

ILG:RT:RK

TENNESSEE DEPARTMENT OF LABOR AND WORKFORCE DEVELOPMENT

MONITORING GUIDE

October 2015

Prepared by:

**TENNESSEE DEPARTMENT OF LABOR AND WORKFORCE DEVELOPMENT
Nashville, TN**



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GENERAL INFORMATION

Preface

This monitoring guide has been developed to be a reference for statewide WIA programs and American Job Centers (AJC) monitoring activities. The information in this manual is intended as a guide and does not limit the reviewers in number, scope, or format.

This monitoring procedure contains the required Policy 2013-007 elements which include: federal and state program descriptions of total subrecipient contract populations; subrecipient contracts to be monitored; risk assessment and assignments; two-third's (2/3) and 1/3 requirements for monitoring WIA contracts; personnel information regarding monitoring staff; a summary of findings; the monitoring cycle and the grants monitoring process.

In addition this guide also includes: EEO information; waivers approved for WIA programs; the monitoring process and the program requirements for the Senior Community Service Program (SCSEP -- the senior program).

INTRODUCTION

The Workforce Investment Act places primary emphasis on program performance at state and local area levels. Monitoring at state and local area levels will ensure that proper systems are in place, being followed, and meet the requirements of the law. To accomplish these things, the state has prepared this monitoring guide, which includes onsite and desktop monitoring systems, corrective action, follow-up procedures and other items.

The reason for emphasizing monitoring is to assist in reducing the possibility of audit exceptions, sanctions, and unallowable costs (which may need to be reimbursed to the federal government). Through the use of established monitoring procedures, both state and local areas may minimize such problems by early detection and correction.

For sixteen consecutive years, the Division of Workforce Services, Department of Labor and Workforce Development, has been relying on Program Accountability and Review (PAR) to conduct subrecipient monitoring reviews of WIA contractors. All contractors will be reviewed at least once each year.

Purpose: Monitoring can serve many purposes. Although it is most common to monitor for compliance with federal and grant requirements, monitoring should be viewed as a multi-faceted management activity directed at achieving program goals and financial requirement standards. Monitoring then becomes a program identification tool that links planning, program design, implementation, technical assistance, and evaluation and financial requirement standards. The purpose of this review guide is to examine compliance with WIA programs under the Tennessee Department of Labor and Workforce Development. These programs are provided at American Job Center Comprehensive Centers statewide in accordance with each program's policy regarding agreements, board membership, appointment procedures and areas of representation, responsibilities, and activities. The department holds the position that funds, which are distributed to the states from federal-funding agencies (for services and contractors), should be monitored annually. An exception to annual monitoring pertains to National Emergency Grant contracts which are to be monitored twice each year.

According to the requirements stated in 20CFR Section 667.410 (b) (2) of the USDOL each Governor is responsible for the development of the state monitoring system that demonstrate the plan meets the requirement stated above. In addition, WIA §184 (A) 4 also requires each Governor of a state receiving WIA Title I funds "to conduct on an annual basis onsite monitoring of each local area within the state to ensure compliance with the uniform administrative requirements" (20 CFR §667.400 (c)(2) including the applicable cost principles).

To conduct a thorough review, PAR monitors will examine both fiscal and programmatic aspects at Administrative Offices and/or American Job Center Comprehensive Centers/Local Workforce Investment Areas (LWIAs). This updated guide (to be used by PAR) along with Uniform Administrative Review instruments should be used to review program delivery and also expenditures and invoices, which are connected to contracts and activities.

Prior to the monitoring reviews, PAR should receive a copy of the contracts from the fiscal division. As far as locations of the monitoring reviews, a fiscal review and a programmatic review can be conducted at the Administrative Offices. However, a programmatic review would be incomplete without the monitors observing “first-hand” the delivery of participant services that occur in this process at American Job Center Comprehensive Centers.

The opportunity, to deliver employment and training services in an American Job Center Comprehensive Center, depends on a proposed provider’s designation or certification as an Eligible Service Provider (*WIA §121*). Eligible providers are identified not only according to performance but also by means of the state working in collaboration with Local Workforce Investment Boards. (Specific performance indicators are discussed separately in this monitoring guide.)

Grant Monitoring Process

Notification Process: The Program Accountability Review team will provide written notice, to each entity being monitored, at least ten days prior to a review’s being conducted. The written notice will inform the entity of: the dates for the review; which programs will be reviewed; the contract numbers of contracts that will be examined; and, the estimated time of arrival.

If the date(s) identified in the written notification is not convenient for the entity being monitored, the entity must contact the monitors immediately. The entity and the monitors will determine a mutually-satisfactory date, and the review will be rescheduled. However, state monitors reserve the right to conduct monitoring or unscheduled reviews as appropriate.

Monitoring Process: The Tennessee Department of Labor and Workforce Development (TDLWD) PAR monitors will use this monitoring guide to conduct fiscal system activities and program reviews. The guide will be amended as regulatory changes occur.

- The monitor review may be conducted through desktop evaluation, onsite evaluation or through a combination of these two processes.

- PAR monitors are authorized to monitor any entity receiving Workforce Investment Act (WIA) and Workforce Development funds at the American Job Center Comprehensive Centers. Their review may include: examining program records; questioning employees; interviewing participants; and entering any site or premise which receives WIA funds.
- Random sampling techniques will be used to perform the review of program records. Monitors will hold an exit conference with appropriate officials for each review conducted.
- After the monitors finish their examination, working papers shall be established during the review and maintained by the TDLWD.

Time Schedules

| | |
|--------------------------|--|
| Monitor Report | A monitoring report is issued within fifteen (15) working days of the completion of the monitor working papers. |
| Corrective Action | A corrective action plan will be issued within thirty (30) calendar days of the publishing of the monitoring report that requires corrective action. |
| Progress Report | A progress report will be issued to TDLWD each month until the corrective action has been accomplished. |

REQUIRED MONITORING PLAN

Grants awarded by Workforce Services consist of, at present, cost-reimbursement contracts awarded in most cases to local **government and county** administrative units. As provided in WIA 1998, LWIAs are permitted to submit optional modifications to their local plans during the period covered by their plan (*WIA §112(d)*).

Additional emphasis is placed on quality service and continuous improvement in performance outcomes. The aggregate effort of the providers, in the American Job Center Comprehensive Centers, determines that area's annual performance, and the combined efforts of all partners will be reflected in the statewide performance.

This outline should be used to gather information concerning the programs PAR has been asked to monitor during fiscal year 2014-2015. By using the questions in this guide, during staff and management interviews (about each program), PAR should be able to receive consistent information from all grantors about all programs. The grantor can answer these

questions and submit the information to PAR; also, PAR staff may use this document as a guide when conducting information-gathering meetings with grantors.

Program Contact Information:

Ivan Greenfield, Director of Grants & Budgets Unit
Rubka Tamerat, Grants & Budgets Unit
Phone (615) 741-1031

Fiscal Contact Information:

Ivan Greenfield, Director of Grants & Budgets Unit
Mia Cook, Grants & Budgets Unit
Phone (615) 741-1031

Contract Office

Kathy McCain, Manager, Fiscal
Bill Haynes, Acct. Tech II, Fiscal
Phone: 615-532-1338 (McCain)
615-741-5353 (Haynes)

Contact for PAR Staff

Paul Stewart, Director
Program Accountability Review Unit
(615) 532-9866
Paul.Stewart@tn.gov

MONITORING/CORRECTIVE ACTION PLAN PROCESS

1. Grants and Budget Unit (GBU) staff update the department's monitoring guide based on OACS guidelines and policy 2013-007 requirements which include lists of contracts, a risk assessment chart, and fiscal and program questionnaires for all WIA programs.
2. The Director for the GBU forwards the updated monitoring guide with a letter to General Services by October 1 of each year. Negotiations will take place until the Monitoring Guide is formally approved.
3. Once the monitoring guide has been approved by General Services, a copy is provided to the Communications Office to be placed on TDLWD's Web site and a copy is provided to PAR.
4. Budget and Grants staff receive a notice from PAR 30 days prior to a monitoring visit. Budget and Grants staff enter the projected date of the review on a monitoring-tracking, shared spreadsheet.
5. PAR forwards the results of the monitoring review to the Assistant Administrator of Workforce Services.
6. If there is no finding and no corrective action is needed, Budget and Grants staff enter the date on which the monitoring report was issued, the date on which the monitoring report was received, and the expression "no findings reported" on the spreadsheet.
7. If there is a finding, the Corrective Action Plan (CAP) must be sent within 30 days. If the CAP is not accepted, a notice will be sent to the LWIA for technical assistance if needed.
8. If the CAP does not arrive within 30 days or the CAP is not accepted, a notice will be sent to the LWIA or technical assistance will be provided by Workforce Services staff.
9. After 30 days, the CAP will be sent to the Budget and Grants Director for approval.

Policy 2013-007 Requirements

- A. 2/3-1/3 REQUIREMENTS FOR MONITORING WIA**
Please find the calculations for the 2/3-1/3 requirements and the number of contracts and amount of contracts to be monitored on **Page 11**
- B. PERSONNEL INFORMATION REGARDING MONITORING STAFF**
Please find the monitoring staff organizational chart and FTEs on **Page 12**
- C. FEDERAL AND STATE PROGRAM DESCRIPTIONS**
Please find the federal and state program descriptions on **Page 12**
- D. SUBRECIPIENT CONTRACT POPULATION**
Please find the total subrecipient contract populations on **Page 43**
- E. SUBRECIPIENT CONTRACTS TO BE MONITORED**
Please see Attachment A
- F. MONITORING CYCLE**
The WIA Monitoring Cycle is based on the state Fiscal Year (October 1st – September 30th)
- G. RISK ASSESSMENT AND ASSIGNMENTS**
Please see **Attachment C**
- H. SUMMARY OF FINDINGS**
Please see **Attachment D**
- I. GRANTS MONITORING PROCESS**
Please see **Attachment E SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM (SCSEP)**

2/3-1/3 Requirement for Monitoring the WIA

In accordance with 20 **CFR** Section 667.410 (b) (2) of the USDOL, each Governor is responsible for the development **of a state** monitoring system **which demonstrates that** the plan meets the requirement stated above. In addition, WIA §184 (a) 4 of requires each Governor of a state receiving WIA Title I funds “to conduct on an annual basis onsite monitoring of each local area within the state to ensure compliance with the uniform administrative requirements” (20 *CFR* §667.400 (c)(2)).

The contracts listed in **Attachments A & B** in this manual will provide information to General Services and the public as to the Tennessee Department of Labor and Workforce Development contracts issued and monitored throughout the year. Modifications to contracts are included in Attachment B.

Monitoring Cycle: October 1, 2014 -- September 30, 2015

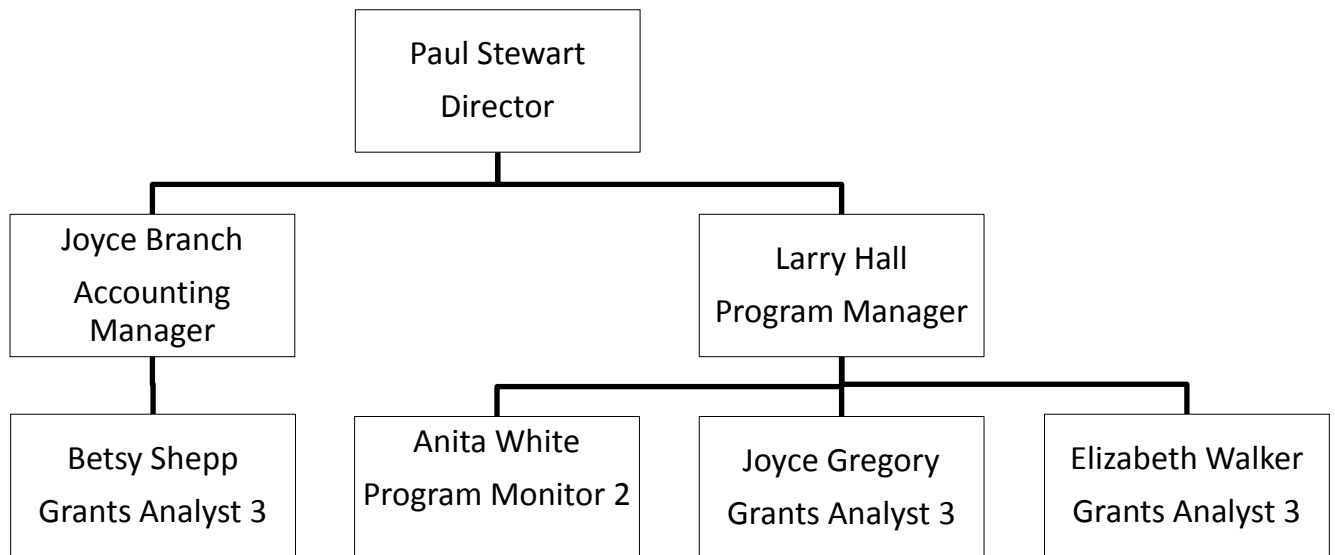
Please see below the calculations for the 2/3-1/3 requirements of the minimum number of contracts and the amounts of the contracts to monitored.

| | Amount | Number |
|--------------|----------------|--------|
| Attachment A | \$119,830,351, | 277 |
| Attachment B | \$Grand Total | 0 |
| Total Amount | \$119,830,351 | 281 |

| | |
|--|---------------------|
| 2/3 of the number of contracts to be monitored | 184 |
| 1/3 amounts of funds to be monitored | \$39,994,510 |

The Department of Labor and Workforce Development has historically monitored 2/3 of the contracts issued and 1/3 of the total amount of contracts allocated. Doing so fulfills the requirements under Policy 2013-007.

PROGRAM ACCOUNTABILITY REVIEW ORGANIZATION CHART



TDLWD has seven (7) Full Time Equivalent (FTE) staff who are responsible for monitoring all WIA Programs. All staff monitor formula, NEG, Incentive contracts and all other WIA contracts issued.

PROGRAM DESCRIPTIONS

WIA Section 117 (4) requires the local board in partnership, with the chief elected, to conduct oversight with respect to local programs of: youth activities authorized under section 129; **local** employment and training activities authorized under Section 134; and, the one stop delivery system in the local area. The new federal legislation demanded that states build a more streamlined and more flexible workforce development system that meets the needs of its customers and avoids the duplication of services.

To this end, WIA 1998 requires that a physical location in each Local Workforce Investment Area (LWIA) be established which provides universal access to a specific array of Core and Intensive services delivered by American Job Center Comprehensive Centers (**WIA §121 (e)**).

Program monitoring reviews may include but are not limited to:

- Reporting accuracy
- Record keeping and file maintenance
- Self monitoring functions
- Service delivery
- Automated systems and reporting
- Human resources
- Policies and procedures

Program Universal Labor Exchange Service

This WIA menu of services applies to participants described in the WIA program and labor exchange programs. State merit-staff employees, along with other service providers at the career centers, provide core services and applicable intensive services. These services are provided to job seekers including adults, older youth, and dislocated workers, and also employers. Other service recipients of labor exchange programs include: Unemployment Insurance (UI) claimants, veterans, migrant and seasonal farm workers, older workers, SNAP program recipients, and individuals with disabilities (**20 CFR Sub-Part C 652.207 et seq.**; (42 U.S.C. 4701 et seq.; Addendum 1, **OMB A-133 Compliance Supplement June 30, 2009, pp. 4-17.258 thru – 10.**).

WIA Program Services

Core Services, with no eligibility requirements, consist of:

- a. Eligibility determinations
- b. Job Search and placement assistance, including career counseling
- c. Labor market information which identifies job vacancies, skills needed for demand occupations, and local, regional, and national employment trends
- d. Initial assessment of skills and needs
- e. Information regarding LWIA performance outcomes
- f. Assistance in establishing eligibility for welfare-to-work activities
- g. Information about and referral to available supportive services
- h. Follow-up services to help individuals keep their jobs once they are placed (**WIA §134(d)(B)(2)**)

Intensive Services consist of:

- a. Comprehensive assessments

- b. Development of Individual Employment Plans
- c. Group and individual counseling
- d. Case Management
- e. Short-term, prevocational services (**WIA §134 (d)(B)(3)**)

Training Services consist of:

- a. Development of Individual Training Accounts (ITAs)
- b. Occupational skills training
- c. On-the-job training
- d. Entrepreneurial training
- e. Skill upgrading
- f. Job readiness training
- g. Adult education and literacy (**WIA §134 (d)(B)(4)**)
- h. *Incumbent Worker Training*

Supportive Services, when not available from other sources, consist of:

- a. Transportation
- b. Childcare
- c. Needs-related payments necessary for participation in WIA
- d. Relocation assistance (**WIA §101 (46)**)

WIA Funding

WIA authorizes three funding streams for the WIA Title I programs -- Adult, Youth, and Dislocated Workers. In Program Year 2014, Ninety-one (91) percent of the adult and youth funds and (71) percent of the dislocated worker funds are allocated to the LWIAs. Of the remaining youth, adult, and dislocated worker funds, five (5) percent is used by states to administer the programs. In addition, twenty-five (20) percent of the dislocated worker funds is used for Rapid Response and the remaining 3.75 percent from each of the 3 programs is used for statewide activities.

Of the total adult and youth funds received, the state distributes 91 percent of the adult and youth funds by formula to the LWIAs. LWIAs are allowed to use 10 percent of the 91 percent for administrative purposes, and the remaining 81 percent is used for program activities.

The state allocates 71 percent, of the total dislocated worker funds received, to the LWIAs by using factors required by USDOL and additional factors the Governor adds to the list. LWIAs may use a maximum of (10) ten percent for administration and the remaining 61 percent for dislocated worker program activities.

Fiscal monitoring activities may include but are not limited to:

- a. Budget methodologies
- b. Cash management practices
- c. Cost allocation plans and processes
- d. Cash disbursement compliance and documentation
- e. Program income identification and reporting
- f. Internal controls
- g. Purchasing and procurement processes and procedures
- h. Property accountability and safeguarding

Grants for Adults Must Serve...

All adults, 18 and over, are eligible to receive WIA services. In the event adult program funds, allocated to an area are limited, priority will be given to recipients of public assistance and to other low-income individuals. The services to be provided are: 1) Core services; 2) Intensive services; 3) Training or Retraining services.

The question “who is eligible for training” is determined by the following conditions:

- The funding availability in the area
- The individual employment plan developed for the customer after receiving core services and intensive services
- The criteria developed by the LWIA to target the most-in-need for retraining services

Note: Limited funding in an LWIA is defined as a **75%** expenditure rate before the end of the third quarter of that program year; at which time, the most in need or economically disadvantaged will be given priority for WIA services (***E&T Memo 00-11***).

Grants for Dislocated Workers Must Serve...

WIA § 101 (9) defines dislocated workers in the following manner.

- A. They are individuals who: have been terminated or laid off, or who have received a notice of termination or layoff from employment; are eligible for or have exhausted their entitlements to unemployment compensation; have been employed for a duration sufficient to demonstrate attachment to the workforce but are not eligible for unemployment compensation due to insufficient earnings or having performed services for an employer that was not covered under the

state unemployment compensation law; are unlikely to return to a previous industry or occupation.

- B. They are individuals who have been terminated or laid off, or have received a notice of termination or layoff from employment as a result of any permanent closure of, or any substantial layoff at a plant, facility, or enterprise. They are also individuals who are employed at a facility where the employer has made a general announcement that such facility will close within 180 days; or, for purposes of eligibility, they are individuals who are receiving services other than training services described in section 134(d)(4), intensive services described in section 134(d)(3), or supportive services. They are also individuals who may be employed at a facility where the employer has made a general announcement that the facility will close.
- C. They are individuals who were self-employed (including employment as a farmer, a rancher, or fisherman) but are unemployed as a result of general economic conditions in the community in which the individual resides or are unemployed because of natural disaster.
- D. They are individuals who are displaced homemakers

Grants for Youth Are Required to Serve...

Eligible Youth

An eligible individual must meet the following criteria:

Youth age 14-21

Economically disadvantaged (Up to five (5) percent of the funds allocated to a local workforce area may be used for youth that do not meet the income criterion.)

Youth must meet at least one of the following criteria:

- Deficient in basic literacy skills
- School Dropout
- Homeless, a runaway, or a foster child
- Pregnant or a parent
- Offender
- Requires additional assistance to complete an education program or to secure employment (as defined in the LWIA's plan).

Out-of School Youth

- An out-of-school youth is an eligible youth
- Youth age 14-21
- Economically disadvantaged (Up to 5 percent of the funds allocated to a local workforce area may be used for youth that do not meet the income criterion.)

And is one of the following:

- A school dropout, or
- A high school graduate or holder of a GED but is one of the following:
 - Basic skills deficient
 - Unemployed, or
 - Under-employed.

NOTE: Priority of services to veterans is paramount and is to be observed in all employment and training activities. At each point of entry or program services, the LWIA must ensure that veterans are aware of their entitlement to priority of services and that the full array of services is available to them.

Discretionary/State & National Reserve

An LWIA may request additional State Reserve Funds and/or National Reserve Funds if that LWIA does not have sufficient funds to serve WIA Title I eligible customers, who have been terminated or laid off, or have received a notice of termination or have been laid off by an employer. When such a request for statewide funds is made, the Administrative Entity must submit a letter, to the Administrator of Workforce Services, documenting the need for additional funds.

The Administrative Entity, with the letter, will submit another document showing the: number to be served; the funding source (youth, adult, or dislocated worker); training to be provided; and amount of funds needed to serve the customers requesting services.

When a request for National Reserve funds is made, the state, in collaboration with the Administrative Entity in one or more local areas will submit a grant application to the United States Department of Labor (USDOL).

Program Service Providers

For-profit and non-profit providers may be used to deliver services. However, each training provider (that the LWIA uses for its respective area) must be approved as an eligible training provider, as specified in Tennessee's State Plan. This plan is accessible on the department's Web site at <http://www.state.tn.us/labor-wfd/empwfd.html>. The list of eligible training providers is routinely updated and can be accessed through the same hyperlink.

Allowable Activities: Focus Area

It is important that a Program Accountability Review (PAR) team review the IEPs (Individual Employment Plans designed for participants) and then determine whether the plans have been implemented. PAR should expect to see e-CMATs documentation that can be used to examine and track the activities of participants. This system will allow the review of the individual plan designed for a participant. This plan will include an assessment and activities which the participant receives to address his or her needs.

Policies

Even though state policies are not specifically stated in the contracts, policies and changes made to previous policies may be found on the department's Web site. The policies issued for this program are routinely available at Workforce Development Web page <http://www.state.tn.us/labor-wfd/empwfd.html> after these policies are distributed via e-mail and via US mail to the LWIAs and to WIA partners and contractors. In addition, the *WIA/e-CMATs policy-program Manual*, the *Workforce Investment Programs Technical Assistance Manual*, and the *State Financial Management Handbook* are available to LWIAs through the Web site.

Exception-Based Guides

The current monitoring guide makes references to current policies and the *Workforce Investment Programs Technical Assistance Manual*. However, there will be policy changes and updates throughout the year. The updated materials will be e-mailed to PAR monitors and posted on the Department of Labor and Workforce Development Web site.

Fiscal

Allowable Costs

- Budget revisions need to be made whenever increases or decreases are approved.
- Close-out reports are due forty-five (45) days after the end of the contract period.
- The state will need nine working days in order to process the drawdown request/reimbursement. This means that at least nine days prior to the anticipated date, the request for drawdown is needed by the state. If contractors submit a draw request after this time, there is no guarantee of its being paid the following week. Drawdown requests, must be received by the Tennessee Department of Labor and Workforce Development on Wednesday (CST) by noon, to be available the following Friday.
- All contractors must estimate needs based upon cash outlays.
- Funds may be drawn down no more frequently than weekly.

Fiscal Reporting

- A monthly Expenditure Report is due, for each contract, by the 20th of the following month.
- A Quarterly Report, reflecting accrued expenditures (by cost category, when needed, on a cumulative basis), must be submitted for each contract by the 20th of the following month, or submitted by a date determined by Fiscal Services if necessary.
- The Quarterly Report must reflect program income, if any, and rebates or refunds to any program. There is also a WIA Stand-In Costs Report that must be submitted if costs are to be considered as a substitute for disallowed costs (as the result of an audit or other review).
- A Close Out package is to be completed for each contract and is due forty-five (45) days after the end of the contract period.

Non-Discrimination

The Department of Labor and Workforce Development, State and LWIBs, American Job Center Comprehensive (One-Stop) Career Centers, service providers, vendors, and

subrecipients are committed to full compliance with the following nondiscrimination and equal opportunity laws and with implementing of the following regulations:

- Civil Rights Act of 1964
- Rehabilitation Act of 1973, Section 504
- Americans with Disabilities Act of 1990
- Title IX of the Education Amendments of 1972
- Age Discrimination Act of 1965
- Department of Justice Final Rule 2002
- WIA §188
- The regulations implementing the statutory provisions

Thus, PAR reviewers need to ensure that the subrecipient is in compliance with the listed nondiscrimination provisions, in accordance with ***TCA §4-4-123*** and ***TCA §4-21-901 et seq.***, which is in place to ensure that:

No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance (*United States Code, §2000d*).

and that:

No person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance (*United States Code, §1681*).

and,

No person in the United States shall, on the ground of blindness or severely impaired vision, be denied admission in any course of study by a recipient of Federal financial assistance for any education program or activity, but nothing herein shall be construed to require any such institution to provide any special services to such person because of his blindness or visual impairment (*United States Code, §1684*).

These laws and regulations are applicable to all of the programs, activities, and operations of TDLWD and the subrecipient entities with which the department

contracts to utilize federal funds. WIA 1998 describes these requirements as follows:

NON-DISCRIMINATION, (a) In General--(1) Federal financial assistance.--For the purpose of applying the prohibitions against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.), on the basis of disability under section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), on the basis of sex under Title IX of the Education Amendments of 1972 (20 U.S.C. 1681 et seq.), or on the basis of race, color, or national origin under Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.), programs and activities funded or otherwise financially assisted in whole or in part under this Act are considered to be programs and activities receiving Federal financial assistance. (2) Prohibition of discrimination regarding participation, benefits, and employment. No individual shall be excluded from participation in, denied the benefits of, subjected to discrimination under, or denied employment in the administration of or in connection with, any such program or activity because of race, color, religion, sex (except as otherwise permitted under Title IX of the Education Amendments of 1972), national origin, age, disability, or political affiliation or belief. (3) Prohibition on assistance for facilities for sectarian instruction or religious worship.—Participants shall not be employed under this title to carry out the construction, operation, or maintenance of any part of any facility that is used or to be used for sectarian instruction or as a place for religious worship (except with respect to the maintenance of a facility that is not primarily or inherently devoted to sectarian instruction or religious worship, in a case in which the organization operating the facility is part of a program or activity providing services to participants). (4) Prohibition on discrimination on basis of participant status.—No person may discriminate against an individual who is a participant in a program or activity that receives funds under this title, with respect to the terms and conditions affecting, or rights provided to, the individual, solely because of the status of the individual as a participant. (5) Prohibition on discrimination against certain non-citizens.—Participation in programs and activities or receiving funds under this title shall be available to citizens and nationals of the United States, lawfully admitted permanent resident aliens, refugees, asymlums, and parolees, and other immigrants authorized by the Attorney General to work in the United States (**WIA §188**).

Nondiscrimination Information and Reporting Requirements

The documentation and other compliance measures, required for compliance with nondiscrimination statutes and regulations, include a nondiscrimination provision indicating that the provider has explained these nondiscrimination provisions. All individuals, covered by these regulations, must sign a hardcopy acknowledging their awareness of these nondiscrimination provisions; and, the hardcopy of the signature page must be kept in the individual's file:

1. Subrecipient must provide initial and continuing notice that they do not discriminate on any prohibited ground. This notice must be provided to: (1) Registrants, applicants, and eligible applicants; (2) Participants; (3) Applicants for employment and employees; (4) Unions or professional organizations that hold collective bargaining or professional agreements with the subrecipient; (5) Subrecipients that receive WIA Title I funds from the state; (6) and, Members of the public, including those with impaired vision or hearing, (b) As provided in Sec. 37.9, the subrecipient must take appropriate steps to ensure that communications with individuals with disabilities are as effective as communications with others. All notices must contain the specific language indicated below.

Equal Opportunity Is the Law

It is against the law for this recipient of Federal financial assistance to discriminate the following bases against any individual in the United States: on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief; and against any beneficiary of programs financially assisted under Title I of WIA of 1998 on the basis of the beneficiary's citizenship/status as a lawfully admitted immigrant authorized to work in the United States, or his or her participation in any WIA Title I-financially assisted program or activity. The recipient must not discriminate in any of the following areas: deciding who will be admitted, or have access to any WIA Title I financially-assisted program or activity; providing opportunities in, or treating any person with regard to such a program or activities or making employment decisions in the administration of, or in connection with, such a program or activity (29 CFR 37.29).

2. Subrecipients that publish or broadcast program information in the news media must ensure that such publications and broadcasts state that the WIA Title I financially assisted program or activity in question is an equal opportunity

employer/program (or otherwise indicate that discrimination in the WIA Title I financially assisted program or activity is prohibited by Federal Law). This publication must also indicate that auxiliary aids and services are available upon request to individuals with disabilities (**29 CFR 34.24**).

3. Certain subrecipients are required to provide language assistance to individuals who do not speak English as their primary language and who have a limited ability to speak, read, write or understand English. These individuals are to be considered Limited English Proficient (LEP) and are entitled to free language assistance. Subrecipients can begin to comply with these provisions through application of the 4 Factor Test as described in policy guidance issued by the U.S. Department of Justice dated April 12, 2002.

(Federal Register: May, 2003. Department of Labor, Policy Guidance to Federal Financial Assistance Recipients Regarding the Title VI Prohibition against National Origin Discrimination Affecting Limited English Proficient Persons)

Waivers Approved 2014-2017

The purpose of the general statutory and regulatory waiver authority is to provide flexibility to states and local areas and to enhance their ability to improve the statewide workforce investment system (**20 CFR §662.400**).

1. Waiver of the prohibition at CFR 664.510 on the use of Individual Training Accounts for older and out-of-school youth.

The State was previously granted a waiver of the prohibition at 20 CFR 664.510 on the use of Individual Training Accounts (ITAs) for older youth and out-of-school youth program participants. The State was granted an extension of this waiver through **June 30, 2017**. Under this waiver, the State can use ITAs for older youth and out-of-school youth program participants. The State must continue to make the 10 youth program elements available as described at WIA Section 129(c)(2). The State should ensure that funds used for ITAs are tracked and that the ITAs are reflected in the individual service strategies for these. (Additional elements are pending approval from USDOL.)

2. Waiver to permit the State to replace the performance measures at WIA Section 136(b) with the common measures.

The state was granted this waiver through **June 30, 2017**. The State was previously granted a waiver that allows the State to replace the 17 performance measures under WIA Section 136(b) with the common measures. This waiver permits the State to negotiate and report WIA outcomes against the common performance measures only, rather than the performance measures described at WIA Section 136(b). The State will no longer negotiate and report to ETA on the following WIA measures: WIA adult and dislocated worker credential rates; participant and employer customer satisfaction; older youth measures; and younger youth measures. The State will use the three adult common performance measures to negotiate goals and report outcomes for the WIA Adult and WIA Dislocated Workers programs. The State will use the three youth common performance measures to negotiate goals and report outcomes for the WIA Youth program. Workforce Investment Act Standardized Record Data system (WIASRD) item 619, Type of Recognized Credential, should be completed for each individual as appropriate, regardless of this waiver to report on common performance measure outcomes only.

3. Waiver of WIA Section 133(b) (4) to increase the allowable transfer amount (up to 50%) between Adult and Dislocated Worker funding streams allocated to a local area.

The State is granted this waiver through **June 30, 2017**. Under the waiver, transfer authority is limited to 50 percent. This limitation provides states flexibility while ensuring consistency with Congressional intent regarding the level of funding appropriated for the WIA Adult and Dislocated Worker programs.

4. Waiver of WIA Section 123 that requires that providers of Youth program elements to be selected on a competitive basis.

The State is partially granted this waiver through **June 30, 2017**. Under this waiver, the State is permitted to allow its American Job Center Comprehensive (One-Stop) Career Centers or partner agencies to directly provide youth program elements of supportive services, follow-up services, and work experience. In utilizing this waiver, the State and local areas must

still meet Office of Management and Budget requirements (codified in 29 CFR 95.40-95.48 and 97.36) and all state and local procurement laws and policies.

5. Waiver of WIA Section 134(a) to permit local areas a portion of local funds (up to 10%) for incumbent worker training.

The State was granted an extension of this waiver through **June 30, 2017**. Under this waiver, the State is permitted to allow local areas to use up to 10 percent of local Dislocated Worker funds and up to 10 percent of local Adult funds for incumbent worker training only as part of a lay-off aversion strategy. Use of Adult funds must be restricted to serving lower-income adults under this waiver. The ETA believes limiting incumbent worker training to the specified level and requiring it to be a part of layoff aversion is the best use of funds in the current economic climate where serving unemployed workers is a paramount responsibility of the workforce system. All training delivered under this waiver is restricted to skill attainment activities. Local areas must continue to conduct the required local employment and training activities at WIA Section 134(d), and the State is required to report performance outcomes for any individual served under this waiver in the WIASRD (field 309). TEGL No. 26-09, Section 7A, "Workforce Investment Act (WIA) Waiver Policy and Waiver Decisions for PY 2009 and 2010" and TEGL No. 30-09, "Layoff Aversion Definition and the Appropriate Use of Incumbent Worker Training for Layoff Aversion Using a Waiver" provide policy guidance related to implementation of this waiver.

6. Waiver of WIA Section 134(a)(1)(A) to permit a portion of the funds reserved for rapid response activities to be used for incumbent worker training.

The State was granted an extension of this waiver through **June 30, 2017** to permit use of rapid response funds to conduct allowable statewide activities as defined under WIA Section 134(a)(3), specifically incumbent worker training. Under this waiver, the State is permitted to use up to 20 percent of rapid response funds for incumbent worker training only as part of a lay-off aversion strategy. ETA believes limiting incumbent worker training to layoff aversion is the best use of funds in the current economic climate where serving unemployed workers is a paramount responsibility of the workforce system. All training delivered under this waiver is restricted to skill attainment activities. The State is required to report performance outcomes for any incumbent workers served under this waiver in the WIASRD (field

309). TEGL No. 26-09, Section 7A, “Workforce Investment Act (WIA) Waiver Policy and Waiver Decisions for PY 2009 and 2010” and TEGL No. 30-09, “Layoff Aversion Definition and the Appropriate Use of Incumbent Worker Training for Layoff Aversion Using a Waiver” provide policy guidance related to implementation of this waiver.

7. Waiver of WIA Section 134(a)(2)(B)(II) and 20 CFR 665.200(D) to exempt the state from the requirement to conduct evaluations.

The State was granted this waiver through June 30, 2013. However, an extension request has been submitted through **June 30, 2017**. At the time of the submission of this guide, the State was still waiting for a response from USDOL. This grants a waiver of the requirement to conduct evaluations of workforce investment activities for adults, dislocated workers, and youth in order to establish and promote continuous improvement of the statewide workforce investment system.

8. Waiver of WIA Section 134(a)(2)(B)(111) and 20 CFR 665.200(e) to exempt the state from the requirement to provide local workforce investment areas incentive grants.

However, an extension request has been submitted through **June 30, 2017**. At the time of the submission of this guide, the State was still waiting for a response from USDOL. This would waive the requirement to provide local workforce investment areas incentive grants to reward regional cooperation, local coordination of activities, and exemplary performance.

ONE-STOP CAREER SYSTEM AND PARTNERS/American Job Center/Career Centers

Purpose: The American Job Center or One-Stop Career System centers and consortia partners administer and deliver employment services to adults, youth, and dislocated workers in order to improve access to WIA Title I program components and also to increase long-term employment opportunities for individuals. The required federal partners in the consortia include, among others, Veterans Workforce programs, Wagner-Peyser programs, Adult Education and Literacy, Rehabilitation Act of 1973 programs, the Social Security Act, and the Trade Act of 1974 programs. (An exhaustive list of required partners can be found at **WIA §121 (b)(1)(B)(i-xii)**). It is allowable for additional entities to be named in the MOU, or included in competitive grant announcements, in order to administer and deliver TANF programs, National and Community Service Act programs, and more (**WIA §121 (b)(2)(B)(i-v)**).

WIA MEMORANDA OF UNDERSTANDING (MOU)

Section 662.310 of the federal WIA regulations provides that local areas may develop a single umbrella MOU covering all partners and the Local Workforce Investment Board (LWIB), or separate MOUs between partners and the LWIB. Due to the rapid expansion of the Tennessee Career Center System, the department opted to institute the single umbrella approach.

It was envisioned that this process would assist both the Grant Authority and the Local Workforce Investment Board by: (1) allowing a partnering agency's Duration of Term to extend until the parties mutually agree to modify the agreement; (2) streamlining the signatory process; (3) and, providing a simpler, yet more comprehensive, composite of the Local Career Center System by delineating each partnering agency's contribution by each individual county Career Center facility.

Statutory requirements for the instrument are:

1. The services to be provided through the one-stop delivery system
2. The manner in which costs of such services and the operating costs of the system will be funded
3. The duration of the MOU
4. The procedures for amending the memorandum during the term of the memorandum
5. The methods for referral of individuals between the one-stop operator and the one-stop partners, for the appropriate services and activities
6. Other provisions, consistent with the requirements of this Title, as the parties to the agreement determined to be appropriate

The MOU contains the following elements:

1. MOU Boilerplate: Each partnering agency is listed under "Parties to this agreement"
2. Partner's MOU: Each party to the agreement must have an individual component consisting of the following elements:
 - Cover Sheet identifying the partnering agency by name, address, and contact person
 - Special Terms and Conditions Page allowed by the agency's contractual regulations to include a page labeled "Special Terms and Conditions"
3. Letter of Confirmation indicating which required partners are not included due to the services not being available in the LWIA

4. Signatory Sheet signed by the Local Workforce Investment Board Chairperson, the Local Chief Elected Official(s) Chairperson, and the signature authority of all partnering agencies
5. Executive Summary containing:
 - A rollup of all partner programs or services provided, how the services will be provided, methods of referral, and personnel positions by title, part-time or full-time (if part-time, scheduled hours/days) by individual county facility
 - The Local Career Center System total budget rollup showing the source, amount of the funds and allocation method(s), and indirect costs by each partnering agency by county facility
 - The Local Career Center System total budget rollup depicting the partner agency's total contribution

PERFORMANCE OUTCOME MEASURES

The WIA specifies core indicators of performance for workforce investment activities in adult, dislocated worker, and youth programs. The nine (9) Common Measures apply to the adult, dislocated worker, and youth programs. PAR will not verify outcome data; it will only verify the process to gather the outcomes to be reviewed.

The outcomes are supported by the contracts in that the State Plan. Each local workforce area plan includes information regarding goals for each performance measure and how services will be provided to achieve successful outcomes for each measure. Federal guidance describes the opportunity for additional program funds if performance goals are successfully achieved. There also are possible sanctions if performance goals are not met.

State of Tennessee WIA Regression Performance Levels PY 2014 Common Measures

| Performance Metric | State Regression Levels PY 2014 |
|--------------------------|---------------------------------------|
| Adult Measures | |
| Entered Employment | 85% |
| Employment Retention | 91.0% |
| Average Earnings | \$15,711 |
| | |
| Dislocated Worker | |
| Entered Employment | 90.80% |
| Employment Retention | 92.7% |
| Average Earnings | \$16,900 |
| | |
| Youth Measures | |
| Placement | 86.0% |
| Attainment | 83.0% |
| Literacy/Numeracy | 68% |

GRIEVANCE PROCEDURES

Under WIA, Section 181, “Requirements and Restrictions,” the general rule for grievance is that each State and local area receiving an allotment under WIA shall establish and maintain a procedure for grievances or complaints showing whether there have been violations of WIA requirements from participants and other interested or affected parties. Such procedures shall include an opportunity for a hearing; these must be completed within 60 days after the filing of the grievance or complaint. If a decision relating to the violation has not been reached in 60 days, additional procedures may include an investigation and final determination relating to the appeals of the allegation. Other issues relative to grievance procedures, such as remedies and rules of construction, are also covered in Section 181 as well as CFR 667.600.

WIA Section 181 “Requirements and Restrictions,” 20 CFR 667.600; 29 CFR part 37, WIA Final Rule 661.410(a)(5) and 661.430(a)(1)(iii)

FEDERAL PROGRAMS

Adult Program

The purpose of the Adult Program is to provide core, intensive, and training services to adults who need employment, education, training, or support services under WIA Title I programs.

Adult Program Eligibility

The following is a description of eligible adults under WIA. Individuals must meet the following criteria (***E&T Policy Memo 00-10***):

Ages 18+

Adult Eligibility Documentation

PAR should ensure that eligibility is verified. The WIA Title I program is delivered statewide through the Career Center system which provides universal access to participants who are adults, youth, dislocated workers, and employers. The allowable use of funds is determined by the eligibility criteria for each specific program or funding stream, and the individual’s needs. The following is a list of basic adult-program eligibility requirements:

1. Social Security Number
2. Proof of Citizenship or Permanent Residency Card
3. Work Permit Issued by Immigration and Naturalization Service
4. Receipt of Nondiscrimination Documents, with Signature of Participant
5. When funds for adult programs are limited (75% expended by 3rd Quarter), disadvantaged adults will become a priority for services after veterans. Seeking proof of income or qualifying disability is an eligibility requirement (*E&T Memo 03-25*).

Adult Program Outcomes and Reporting

The state plan, as well as each LWIA plan, includes information regarding goals for each performance measure and how services will be provided to achieve successful outcomes for each measure. Federal guidance describes the opportunity for additional program funds if performance goals are successfully achieved. There also are possible sanctions if performance goals are not met. Please see the attached *Table for State Performance Indicators and Goals*; for reporting parameters, please see the associated *Table for Data Capture and Reporting*.

Three required performance measures apply to adult programs for reporting outcomes:

1. Entry into unsubsidized employment
2. Retention in unsubsidized employment nine months after entry into employment
3. Average Earnings received in unsubsidized employment nine months after entry into employment (**20 CFR 666.100(a)(1); E&T Memo 01-14; WIA Memo WD 02-23, Change 3**)

Dislocated Worker Program

This program provides core, intensive, and training services through the One-Stop Career Center System for the two workforce program clients: job seekers and employers. The WIA goal of universal access is achieved, from among other strategies, through close integration of services provided by Wagner-Peyser, WIA Adult and Dislocated Worker partners, and other partners in the One-Stop Career Center.

Dislocated Worker Program Eligibility

The following is a description of eligible dislocated workers under WIA. An individual must meet the following criteria (***E&T Policy Memo 00-10***):

1. Has been terminated or laid off, or who has received a notice of termination or layoff, from employment.
2. Is eligible for or has exhausted entitlement to unemployment compensation; or
3. Has been employed for a duration sufficient to demonstrate, to the appropriate entity at a one-stop center referred to in WIA section 134(c), attachment to the workforce but is not eligible for unemployment compensation due to insufficient earnings or having performed services for an employer that was not covered under a state unemployment compensation law; and,
4. Is unlikely to return to a previous industry or occupation
5. Has been terminated or laid off, or has received a notice of termination or layoff, from employment as a result of any permanent closure of, or any substantial layoff at, a plant, facility, or enterprise.
6. Is employed at a facility at which the employer has made a general announcement that such facility will close within 180 days; or
7. For purposes of eligibility, to receive services other than training services described in WIA section 134 (d)(4), intensive services described in WIA section 134 (d)(3), or supportive services, is employed at a facility at which the employer has made a general announcement that the facility will close.
8. Was self-employed (including employment as a farmer, a rancher, or a fisherman) but is unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters; or
9. Is a displaced homemaker. The term “displaced homemaker” means an individual who has been providing unpaid services to family members in the home and who: (A) has been dependent on the income of another family member but is no longer supported by that income; and (B) is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment (***Workforce Investment Act Technical Assistance Manual WIA §101 (9) (A-D) WIA §101 (10) (A-B)***).

Asset Building Project

In Program year 2014, the Tennessee Department of Labor and Workforce Development in partnership with local investment areas is making WIA funds available for Asset Building. The funds will be provided to businesses in local areas that have: innovative models addressing employee certifications; targeted skills upgrades; internship models; apprenticeships; business/education partnership recruitment and community outreach strategies.

Employers have a short window to apply for these grants and to provide short term training for their workers. Activities under this grant will end January 2015. This project will be supported with statewide funds. The Department of Labor and Workforce Development will evaluate each grant recipient's program results and provide information to LWIAs. The outcome of these grants will be used to replicate the best practices learned across the state. This will ensure that future results for skills upgrades will yield positive results and help workers keep up with the latest technologies and opportunities for growth. Under this grant, employers may assist incumbent workers, interns and other trainees. Each Local Investment Area, approved for this grant, will be provided with 5% administrative funds to ensure that employers are providing skill-upgrade services to their and new employees as specified in each grant agreement. This grant does not require LWIAs to match these funds with LWIA formula funds.

Youth Program

The purpose of the WIA youth program is to improve the delivery of services to young people by assisting them with the transition, expectations, and skills needed for success in the workplace. The law calls for close links to local labor market needs and community youth programs and services; it also calls for strong connections between occupational and academic learning. Youth programs include activities that promote youth development and citizenship. Some of these activities are: leadership development through community service opportunities; adult mentoring and follow-up; and targeted opportunities for youth living in high poverty areas.

Youth Program Elements

Ten program elements are required by law to be available to all eligible youth participating in WIA (**WIA §129 (c)(2)**). These elements are:

1. Tutoring, study skills training, and instruction leading to completion of secondary school (including dropout prevention strategies)
2. Alternative secondary school services

3. Summer employment opportunities linked to academic and occupational learning. Note: There is no separate summer program on allocation. Summer employment opportunities are to be one component in a year-round design. The summer employment opportunity must not be a stand-alone program separate from the year-round youth program, and it must include follow-up service for a minimum of 12 months.
4. Paid/Unpaid work experiences. Note: Work experience may be in the public or private sector and must be connected with the student's academic and career goals.
5. Occupational skills training integrated with career goals
6. Supportive services
7. Leadership development opportunities
8. Adult mentoring for not less than 12 months. Note: Mentoring can be during and after program participation.
9. Follow-up services for no less than 12 months. Note: Follow-up services are after program participation and are required elements for all youth enrolled in WIA.
10. Comprehensive guidance and counseling

Each LWIA is responsible for identifying providers through a competitive bid process. Providers included Kindergarten through 12, post-secondary, technology schools, community-based organizations, faith-based organizations, and human resource agencies.

Youth Program Eligibility

The following is a description of eligible youth under WIA. Individuals must meet the following criteria (**20 CFR Subpart B 664.200**):

1. Ages 14 – 21
2. Economically disadvantaged (up to 5% of the funds allocated to an LWIA may be used for youth that do not meet the income criteria)

And one of the following (**20 CFR Subpart B 664.220**):

1. Deficient in basic literacy skills
2. School dropout
3. Homeless, runaway, or a foster child
4. Pregnant or a parent
5. Offender

6. Require additional assistance to complete an education program or to secure employment (as defined in the LWIA plan)

Youth Eligibility Documentation

Eligibility is determined in a number of ways such as: a transfer of school records, income documentation, a birth certificate, or the participant's statements. PAR should expect to see whether or not eligibility has been verified. However, due to the volume of youth participants, it is recommended that a 10% sample of files or 25 participant records (whichever is smaller) should be examined.

Additional Youth Eligibility Criteria

WIA does require that, **for** all eligible youth served, 30% of the funding be used to serve out-of-school youth. Out-of-School youth are defined as (**20 CFR Subpart C 664.300-320**):

1. Ages 18 – 21
2. Economically disadvantage (up to 5% of the funds allocated to an LWIA may be used for youth that do not meet the income criteria)

And one of the following:

1. School dropout
2. High school graduate
3. Holder of a GED, but is one of the following:
Basic skills deficient
Unemployed or underemployed

Allowable Youth Activities: Focus Areas

Each LWIA is required to establish a Youth Council that works with or can be a subcommittee of the local board which serves as an advisory board to the full Workforce Board (**WIA §117 (h)**). Youth Council responsibilities include:

1. Developing parts of the local plan relating to eligible youth, as determined by the chairperson of the LWIB
2. Recommending eligible service providers to be awarded grants on a competitive basis and to carry out youth activities under WIA, subject to approval of the LWIB
3. Conduct oversight with respect to eligible providers of youth services in the local

area

4. Coordinate youth activities that:
 - Provide eligible youth with assistance in achieving academic and employment success, effective and comprehensive activities, which includes options for improving educational and skill competencies, and effective connections with employers
 - Ensure ongoing mentoring opportunities with adults
 - Provide opportunities for training
 - Provide incentives for recognition and achievement
 - Provide opportunities related to leadership development, decision-making, citizenship, and community service
 - Are deemed appropriate by the chairperson of the LWIB

Youth Council Membership

The role of the youth council is to guide and advise the local board in issues related to youth and to take equal responsibility to identify eligible providers of youth activities in the local area. Find below questions that will assist in identifying the role of the Local Youth and the importance of their role in shaping the future of the youth.

1. LWIB Members – Are they members of the local board with special interest or expertise in youth policy? This includes LWIB members, both public and private, with special interest or expertise in youth policy (if present on the board).
2. Youth Service Agencies working for juvenile justice working for a local law enforcement agency
3. Public Housing Authorities – Are they local housing authorities?
4. Parents of Eligible Youth – Are they parents of eligible youth seeking assistance under this subtitle?
5. Former Customers/Representatives – Do such individuals include former participants and representatives of organizations that have experience relating to youth activities?
6. Job Corps – Are they Job Corps representatives (if appropriate)?
7. Other Partners/Representatives – Are they members including other representatives such as the chairperson of the LWIB, in cooperation with the chief local elected official, who determines this to be appropriate?

Youth Program Outcomes and Reporting

Three required performance measures (common measures) apply to youth programs, for

reporting outcomes, funded by WIA 1998. These are:

Youth (Age 19 - 21) (**20 CFR 666.100 (a)(3)(ii)**)

- Attainment of a Degree or Certificate
- Placement in Employment or Education
- Literacy and Numeracy Gains

(20 CFR 666.100(a)(1) Common Measures Waiver, Letter to Governor Haslam, 02/13/2008; E&T Memo 01-14; WIA Memo WD 02-23, Change 3)

National Emergency Grants

The purpose of the National Emergency Grant is to provide supplemental dislocated worker funds to LWIAs and other eligible entities which allow them to respond effectively to workers and communities affected by major economic dislocations and affected by other dislocation events which cannot be met with formula allotments.

The services to be provided in the Dislocated Worker and National Emergency Grant programs, as initially shown in the introduction to this review guide, include: the eligibility referred to under National Emergency Grant below.

National Emergency Grants are provided through WIA in order to deliver the following employment and training activities:

1. To provide employment and training assistance to workers affected by major economic dislocations, such as plant closures, mass layoffs, or closures and realignments of military installations.
2. To provide assistance to the Governor of Tennessee within the boundaries of which is an area that has suffered an emergency or a major disaster as defined in paragraphs (1) and (2), respectively, of section 102 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5122 (1) and (2)).
3. To provide disaster relief employment in the area; and, to provide additional assistance to a state or local board for eligible dislocated workers in a case in which the state or local board has expended the funds provided under this section to carry out activities described in paragraphs (1) and (2) and can demonstrate the need for additional funds to provide appropriate services for such workers, in accordance with requirements prescribed by the Department of Labor (*WIA §173 (a)(1-3)*).

Eligibility National Emergency Grants

The eligibility criteria for employment and training assistance, under National Emergency Grants, requires that an individual be any of the following:

1. A dislocated worker
2. A civilian employee of the Department of Defense or the Department of Energy employed at a military installation that is being closed or that will undergo realignment, within the next 24 months after the date of the determination of eligibility
3. Is a long-term unemployed individual, or is temporarily or permanently laid off as a consequence of a disaster (Note: long-term unemployed is defined by the state in the Terms and Conditions of the specific NEG contract.)
4. An individual who is employed in a non-managerial position with a Department of Defense contractor, who is determined by the Secretary of Defense to be at-risk of termination from employment as a result of reductions in defense expenditures, and whose employer is converting operations from defense to non-defense applications in order to prevent worker layoffs; or
5. A member of the Armed Forces who -- (I) was on active duty or full-time National Guard duty; (II) is involuntarily separated (as defined in section 1141 of title 10, United States Code) from active duty or full-time National Guard duty; or is separated from active duty or full-time National Guard duty pursuant to a special separation benefits program under section 1174a of title 10, United States Code, or the voluntary separation incentive program under section 1175 of that title;
6. Is not entitled to retired or retained pay incident to the separation; and applies for such employment and training assistance before the end of the 180-day period beginning on the date of that separation (*WIA §173 (c)(2)(A)(i-iv)*, *WIA §173 (d)(2)*).

Dislocated Worker and NEG Eligibility Documentation

PAR should ensure that eligibility is verified. The WIA Title I program is delivered statewide through the American Job Center (One-Stop) Career Center system which provides universal access to participants who are adults, youth, dislocated workers, and employers. The allowable use of funds is determined by the eligibility criteria for each specific program or funding stream and **is** determined by the individual's needs. Dislocated Workers who need WIA services must provide:

1. A Social Security Number

2. Proof of Citizenship or Permanent Residency Card
3. A Work Permit Issued by Immigration and Naturalization Service
4. Self-employment documents such as tax forms
5. Divorce papers for displaced homemakers
6. Proof of UI benefits or qualification for UI benefits
7. Layoff papers showing loss of employment
8. A Receipt of Nondiscrimination Documents, with the Signature of Participant
9. When funds for adult programs are limited (75% expended by 3rd Quarter), proof of income or qualifying disability is an eligibility requirement. If an NEG has been issued, this criterion has already been met (*E&T Memo 03-25*).

Please note that the records needed to comply with requirements 1 through 3 (shown above) may vary. However, documentation of 1 through 3 shown above, at a minimum, may consist of one item from List A, **or** one each of the items from List B and List C of Exhibit 11 as noted in the *WIA/e-CMATs Program Manual, Workforce Investment Program, Technical Assistance Manual*.

Additional Eligibility State Guidelines for Dislocated Workers

The following are additional factors that distinguish dislocated workers from other populations served by the WIA program (with the exceptions of those who are displaced homemakers and self-employed). For this purpose a dislocated worker is one who is:

- A civilian employee of the Department of Defense or the Department of Energy employed at a military installation that is being closed, or that will undergo realignment, within the 24 months after the date of the determination of eligibility
- A long-term unemployed individual, or is temporarily or permanently laid off as a consequence of a disaster. (Note: long-term unemployed is defined by the state in the Terms and Conditions of the specific NEG contract.)
- An individual who is employed in a non-managerial position with a Department of Defense contractor, who is determined by the Secretary of Defense to be at-risk of termination from employment as a result of reductions in defense expenditures, and whose employer is converting operations from defense to non-defense applications in order to prevent worker layoffs; or
- A member of the Armed Forces who -- (I) was on active duty or full-time National Guard duty; (II) is involuntarily separated (as defined in section 1141 of title 10, United States Code) from active duty or full-time National Guard duty; or, is separated from active duty or full-time National Guard duty pursuant to a special

- separation benefits program under section 1174a of title 10, United States Code, or the voluntary separation incentive program under section 1175 of that title; Not entitled to retired or retained pay incident to the separation; and applies for such employment and training assistance before the end of the 180-day period beginning on the date of that separation (***WIA §173 (c)(2)(A)(i-iv),(d)(2)***).

Dislocated Worker and NEG Eligibility Documentation

PAR should ensure that eligibility is verified. The WIA Title I program is delivered statewide through the One-Stop Career Center system which provides universal access to participants who are adults, youth, dislocated workers, and employers. The allowable use of funds is determined by the eligibility criteria for each specific program or funding stream and is determined by the individual's needs. Dislocated Workers who need WIA services must provide:

1. A Social Security Number
2. Proof of Citizenship or Permanent Residency Card
3. A Work Permit Issued by Immigration and Naturalization Service
4. Self-employment documents such as tax forms
5. Divorce papers for displaced homemakers
6. Proof of UI benefits or qualification for UI benefits
7. Layoff papers showing loss of employment
8. A Receipt of Nondiscrimination Documents, with the Signature of Participant
9. When funds for adult programs are limited (75% expended by 3rd Quarter), proof of income or qualifying disability is an eligibility requirement. If an NEG has been issued, this criterion has already been met (*E&T Memo 03-25*).

Please note that the records needed to comply with requirements 1 through 3 (shown above) may vary. However, documentation of 1 through 3 shown above, at a minimum, may consist of one item from List A, or one each of the items from List B and List C of Exhibit 11 (*WIA/e-CMATs Program Manual, Workforce Investment Program, Technical Assistance Manual*).

Additional State Guidelines when Servicing Dislocated Workers

Please note the factors below that prevent individuals from being served as dislocated workers.

1. Individuals who are unable to work for any reason, and such condition can be documented, are not considered eligible
2. Individuals who are terminated or laid-off for cause are not eligible for dislocated services
3. Individuals are not eligible if the closing or layoff constitutes a strike or lockout
4. Individuals who voluntarily terminate (quit) their employment are not eligible for dislocated services as a result of that dislocation
5. The situation outlined in the last two circumstances above would not prevent an applicant from receiving dislocated worker services if that individual is awarded UI benefits as a result of mitigating circumstances surrounding the termination for cause or voluntary termination.
6. Applicants who are laid off with recall rights should not be excluded from dislocated worker services based solely on the recall factor -- This situation will apply primarily to organized labor with employment contracts.
7. Applicants shall not be considered eligible for dislocated worker services if the applicant has been dislocated for five or more calendar years from the date of attempted certification
8. An applicant's termination must be permanent in nature.

***In addition to the service provider guidelines introduced earlier in this review guide, it is IMPORTANT for PAR to note that, in the National Emergency Grant program, approved service providers may not be listed in the preliminary list of approved providers as published by Workforce Development.**

Statewide Programs

Statewide programs are various programs the state directly contracts with entities delivering services that are not usually delivered by Local Workforce Investment Areas.

Statewide Programs-Eligibility Criteria

Eligibility for these programs is the same as in other WIA programs or funding streams (Adults, Dislocated Worker, and Youth). However, the skill shortage grants-eligibility criteria are different since these services are geared toward skill-specific training.

Statewide Programs: Focus Areas, Policies, and Test Sampling

Additional information and questions regarding each specific statewide grant or activity may be

found in the state contract. WIA federal regulations do not specify what percentage or how many of the participant files should be reviewed. If the standard review which PAR conducts is 20%, this should be adequate.

Incentive Grants

These grants are provided to states in recognition of performance that exceeds negotiated levels. The purpose of the incentive grant is to carry out one or more innovative programs under WIA Title I, WIA Title II, or the Carl D. Perkins Vocational and Technical Education Act. Local incentive grant funds may be used for any of these activities and other activities with the written approval of the Department of Labor and Workforce Development. Not all incentive funds are spent on participants; yet, if an LWIA's plan for incentive funds reflects participant services, then the incentive contract needs to be reviewed using the same guidelines as regular adult, dislocated worker, and/or youth program contracts (**WIA § 503 (a) 20 CFR 666.410**).

To receive an Incentive Grant, the qualified LWIA must provide a short summary describing the circumstances for requesting funds. This should include: the amount of available funds in the particular funding source; the total cost of training and the cost per participant; the previous occupations of the customers, and the new training field customers are seeking; an analysis of the needs survey if there is a request from the result of plant closure or mass layoff; the reasons for not using other funding sources to pay for the training costs (Pell Grants etc.); and, evidence of coordinated efforts with other partners to meet the other needs of the customers requesting training services. The decision for approval or denial of state funding will be made within seven working days of the receipt of this application. If the state denies the request for funding, the state will forward the LWIA a National Reserve Grant application. (See WIA Policy E&T Memo 01-13.)

The Workforce Investment Act allows states the option of providing incentive awards for LWIAs meeting or exceeding performance goals. During the first two years, there were no incentive awards. However, a new state policy (*E&T Memo 02-23 Change 3*) approved by the State Workforce Development Board on October 2, 2006, authorizes incentives and sanctions. (See Workforce Development Web site.) For state fiscal-year 2011-2012, incentive grants have been awarded in Tennessee, and thus, they must be monitored on a yearly basis.

SUBRECIPIENT CONTRACTS POPULATION

| Area | Administrative Entity & WIA Contact |
|-------------------|---|
| LWIA 1 | <p> Kathy Pierce, Executive Director Alliance for Business and Training, Inc. P.O. Box 249 386, Highway 91 North Elizabethton, TN 37644 Office: 423-547-7515 ext. 126 FAX: 423-547-7522 Cell: 423-895-1105 Email: kpierce@ab-t.org And glyons@ab-t.org </p> <p>Counties Served: Carter, Johnson, Sullivan, Unicoi, & Washington</p> |
| LWIA 2 | <p> Dr. Nancy Benziger Brown, Ph.D. FAICP Dean of Workforce Development Walters State Community College 500 South Davy Crockett Parkway Morristown, TN 37813-9989 Office: 423-318-2709 FAX: 423-585-6769 Email: nancy.brown@ws.edu Or brownnb@aol.com </p> <p>Counties Served: Claiborne, Cocke, Grainger, Greene, Hamblen, Hancock, Hawkins, Jefferson, Sevier, & Union</p> |
| LWIA 2 | <p> Donna W. Stansberry, Director of WIA Services 6057 W- Andrew Johnson Hwy., Suite 6A Talbott, TN 37877 Office: 423-317-1062 FAX: 423-317-1061 Email: Donna.Stansberry@ws.edu </p> |

| Area | Administrative Entity & WIA Contact |
|-------------------|--|
| LWIA 3 | <p>Barbara Kelly, Executive Director Knoxville-Knox County CAC P.O. Box 51650 2247 Western Avenue Knoxville, TN 37950-1650 Office: 865-546-3500 FAX: 865-546-0832 Email: barbara.kelly@knoxcac.org</p> <p>Counties Served: Knox</p> |
| LWIA 3 | <p>Vaughn Smith WIA Director Knoxville-Knox County CAC P.O. Box 51650 2247 Western Avenue Knoxville, TN 37950-1650 Office: 865-544-5200 etc 1214 FAX: 865-544-5269 Email: vaughn.smith@knoxcac.org</p> <p>Counties Served: Knox</p> |
| LWIA 4 | <p>Gary Holiway, Executive Director East Tennessee Human Resource Agency 9111 Cross Park Drive Suite D-100 Knoxville, TN 37923 Office: 865-691-2551 ext 4202 Cell: 865-705-8469 FAX: 865-531-7216 Email: gholiway@ethra.org</p> <p>Anderson, Blount, Campbell, Cumberland, Loudon, Monroe, Morgan, Roane, and Scott</p> |
| LWIA 4 | <p>Chris Tiller, WIA Director 728-E Emory Valley Road Oak Ridge, TN 37830 865-813-0281/865-590-1052 ext 7102 FAX: 865-813-0288 Cell: 865-705-8650 Email: ctiller@ethra.org</p> |

| Area | Administrative Entity & WIA Contact |
|-------------------|--|
| LWIA 5 | <p> Beth Jones, Executive Director Southeast Tennessee Development District 1000 Riverfront Parkway Chattanooga, TN 37405-0757 Office: 423-266-5781 FAX: 423-267-7705 Email: bjones@sedev.org </p> <p> Bledsoe, Bradley, Hamilton, Marion, McMinn, Meigs, Polk, Rhea, and Sequatchie </p> |
| LWIA 5 | <p> Rick Layne, WIA Director Southeast Tennessee Development District TN Career Center – Chattanooga Eastgate Towne Center 5600 Brainerd Rd. Suite A-5 Chattanooga, TN 37411 Office: 423-424-4212 FAX: 423-643-2396 Cell: 423-413-8742 Email: rlayne@sedev.org another contact: Anna Smith AnnaS@sedev.org </p> |
| LWIA 6 | <p> Gary Morgan, Executive Director Workforce Solutions 410 Wilson Ave P.O. Box 1628 Tullahoma, TN 37388 Office: 931-455-9596 FAX: 931-455-9580 TDD: 931-454-0477 Email: gmorgan@workforcesolutionstn.org </p> <p> Counties Served: Bedford, Coffee, Franklin, Grundy, Lincoln, Moore, & Warren </p> |

| Area | Administrative Entity & WIA Contact |
|-------------------|--|
| LWIA 7 | <p> Luke Collins, Executive Director Upper Cumberland Human Resource Agency 580 South Jefferson Suite B Cookeville, TN 38501 Office: 931-528-1127 Direct Office Line: 931-520-9600 FAX: 931-526-8305 Cell: 931-397-2025 Email: lcollins@uchra.com </p> <p> Cannon, Clay, DeKalb, Fentress, Jackson, Macon, Overton, Pickett, Putnam, Smith, Van Buren, and White </p> |
| LWIA 7 | <p> Linda Shuiten, WIA Director Local Workforce Investment Area 7 Upper Cumberland Human Resource Agency 580 South Jefferson Avenue, Suite B Cookeville, TN 38501 Phone: (931) 520-9610 (Direct Line) Office: 931-528-1127 FAX: 931-526-8305 TTY: 1-800-848-0298 Email: llschuiten@uchra.com </p> |
| LWIA 8 | <p> Marla Rye, Executive Director Workforce Essentials 523 Madison St. Suite A Clarksville, TN 37040 Office: 931-551-9110 FAX: 931-551-9026 Email: mrrie@workforceessentials.com </p> <p> Counties Served: Cheatham, Dickson, Houston, Humphreys, Montgomery, Robertson, Stewart, Sumner, & Williamson </p> |

| Area | Administrative Entity & WIA Contact |
|-------------------|--|
| LWIA 9 | <p>Paul Haynes, Executive Director The Nashville Career Advancement Center 621 Mainstream Drive, Suite 210 Nashville, TN 37228-1201 Office: 615-862-8890 ext. 77407 FAX: 615-862-8910 TDD: 1-800-848-0298 Email: paul.haynes@nashville.gov www-NCACWorkforce.org</p> <p>Counties Served: Davidson, Rutherford, Trousdale, & Wilson</p> |
| LWIA10 | <p>Jan O. McKeel, Executive Director South Central Tennessee Workforce Alliance #8 Public Square, 2nd Floor Columbia, TN 38401 Office: 931-375-4201 FAX: 931-381-7643 Email: Jan.McKeel@sctworkforce.org</p> <p>Counties Served: Giles, Hickman, Lawrence, Lewis, Marshall, Maury, Perry & Wayne</p> |
| LWIA 11 | <p>Mike Smith, Executive Director Southwest Human Resource Agency P. O. Box 264 1527 White Avenue Henderson, TN 38340-0264 Office: 731-989-5111 Cell: 731-608-1539 FAX: 731-989-3095 Email: msmith@swhra.org</p> <p>Counties Served: Chester, Decatur, Hardeman, Hardin, Haywood, Henderson, Madison, & McNairy</p> |

| Area | Administrative Entity & WIA Contact |
|----------------|--|
| Area 11 | <p>Jimmy Bell, WIA Director Southwest Human Resource Agency 1527 White Avenue Henderson, TN 38340 Office: 731-989-0533 Cell: 731-435-0728 FAX: 731-983-3149 Email: jbell@swhra.org</p> |
| LWIA 12 | <p>Dr. Karen Bowyer, President Dyersburg State Community College 1510 Lake Road Dyersburg, TN 38024 Office: 731-286-3301 Fax: 731-286-3269 Email: kbowyer@dsc.edu</p> <p>Counties Served: Benton, Carroll, Crockett, Dyer, Gibson, Henry, Lake, Lauderdale, Obion, Tipton & Weakley</p> |
| LWIA 12 | <p>Margaret Prater, Executive Director Northwest TN Workforce Board 313 West Cedar Street Dyersburg, TN 38024 Office: 731-286-3585 ext. 16 Fax: 731-286-3584 TDD: 731-286-3584 Email: prater@nwtworks.org www-dsc.edu</p> <p>Counties Served: Benton, Carroll, Crockett, Dyer, Gibson, Henry, Lake, Lauderdale, Obion, Tipton & Weakley</p> |

| Area | Administrative Entity & WIA Contact |
|---------|---|
| LWIA 13 | <p>Melanie Winfield, Interim Director Memphis Work force Investment Network LWIA 13 480 Beale Street Memphis, TN 38103 Office: 901-576-6812 FAX: 901-576-6844 Cell: 901-341-3083 P-cell: 901-497-9404 Email: melanie.winfield@Workforceinvestmentnetwork.com www.workforceinvestmentnetwork.com</p> <p>Counties Served: Fayette & Shelby</p> |
| | <p>Melanie Winfield, Deputy Director, Operations Memphis Work force Investment Network LWIA 13 480 Beale Street Memphis, TN 38103 Office: 901-576-6813 FAX: 901-576-6844 Cell: 901-341-3083 P-cell : 901-497-9404 Email : melanie.winfield@workforceinvestmentnetwork.com www.workforceinvestmentnetwork.com</p> |

Tennessee Department of Labor & Workforce Development

220 French Landing Drive
Nashville, TN 37243-0658
Contact: Dustin Swayne
Title: Deputy Commissioner
Phone: 615-532-5945
Fax: 615-741-3003
Workforce Help Line 1-800-255-5872
Email: Sterling.VanDerSpuy@tn.gov
Website: <http://www.state.tn.us/laborwfd/index.html>

Tennessee AFL-CIO

Technical Assistance Program
1901 Lindell Avenue
Nashville, TN 37203
(615) 383-6899

Adult Education

220 French Landing Drive, 4th Floor
Nashville, TN 37243-0658
(615) 741-7058

QUESTIONNAIRE

RATINGS

YES = This question has been verified and agency has supporting documentation.

NO = This question has been verified, but agency has identify existing gaps. The agency will take steps to address internally, and/or will request technical assistance/instruction from state or applicable contact.

N/A = This question does not pertain to my agency/department/organization.

**FISCAL
QUESTIONNAIRE**

Subrecipient: _____

Reviewer: _____ Date of Review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____

Date: _____

**WORKFORCE INVESTMENT MONITORING TOOL
FISCAL QUESTIONNAIRE**

| | QUESTION | YES | NO | N/A | PARAMETERS |
|----|---|--------------------------|--------------------------|--------------------------|--|
| 1. | Have all of the LWIA's programs, which exceed \$500,000 in WIA funding, been audited during the past two years? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to the audit report and the corrective action if any are on file with the administrative office. |
| 2. | If so, have all audit reports been sent to grantor agencies? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please cross-reference the LWIA administrative office and grantor agency for verification |
| 3. | Does the LWIA annually authorize all bank accounts and check signatories? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please verify with current bank documentation of authorization and check signatories at LWIA and compare to TDLD fiscal office |
| 4. | Does the LWIA have a line item budget for the adult, dislocated worker, and youth program? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the budget for each program. |
| 5. | Does the agency have a method to ensure that the obligation on all contracts does not exceed availability? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the procedure or any method the LWIA uses to prevent over-obligation of contracts. |
| 6. | Were the expenditures on contracts (WIA contracts) over reported? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check all invoices and reconciled reports submitted to TDOL during the monitoring period. |
| 7. | How often does the LWIA draw down cash and how does it determine the amount to be drawn? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the cash management activities and the needs for the amounts to be drawn. |
| 8. | Does the LWIA have a policy on cash management and does it follow any such policies on cash management? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if its policy is followed as instructed? |
| 9. | If the LWIA has purchased | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please see the approval and the |

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| | equipment costing \$100-\$5,000, did the LWIA request approval? Approval for equipment over \$5,000? | | | | request submitted to TDLWD? (For equipment both less than \$5,000 and more than \$5,000) |
| 10. | Does the LWIA account for any program income earned? Were all program incomes reported if any? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please learn whether or not the LWIA has earned program income and reported it to TDLWD during the proper reporting quarter? |
| 11. | Does the LWIA have excess cash on hand? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please compare the amount of drawdown each month with expenditures to see if all draws are expended before making additional drawdown requests (for each contract drawdown requested)? |
| 12. | Did the LWIA use its earned program income for program service(s)? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check what the program income was used for. |
| 13. | How does the LWIA allocate funds to staff working in various grants? How is time of staff allocated and documented for these various programs? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check with the fiscal administrator to review staff time distribution sheets and the calculations based on the documented time distribution. |
| 14. | Is the LWIA adhering to the state travel regulations when its employees are on business travel? Are mileage logs documented and payments based business trips only? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the LWIA's travel policy and how it is followed and how payments made. |
| 15. | Are the agency's vehicles used by personnel for personal business? | | | | Please check if payments are made for personal use and if the LWIA authorized these vehicles to be used as personal vehicles for the staff. |
| 16. | Is new equipment tagged and inventory taken? If equipment is missing, did the LWIA report to authorities and inform TDLWD? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the inventory list and see if it is updated to account for all new acquisitions. Please check to see the document submitted to local authorities and to TDLWD for missing equipment. |
| 17. | Did the cognizant agency provide an approval letter for indirect cost rate for the WIA program? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please request letter of approval from administrative staff. |

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| 18. | Are time sheets maintained for any employees who work on more than one program? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review time sheets of employees assigned to more than one program, for Labor Distribution. |
| 19. | Are the LWIA's depreciation policies or methods of computing use allowances in accordance with the standards outlined in federal circulars or WIA regulations? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review LWIA depreciation policies. |
| 20. | Does the LWIA system have procedures that provide reasonable assurances that consistent treatment is applied in the distribution of charges as direct or indirect costs to all benefiting programs? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review procedures regarding distribution of direct/indirect charges. |
| 21. | Is access to personnel files limited? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please consult administrative staff to identify employees given access to personnel files review. |
| 22. | Has the LWIA met all liabilities for eligible costs incurred, but not paid for, during the contract period and within the period of funding availability? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the contract terms and ensure that the subcontractor has shown a match for each participant in these programs. |
| 23. | Does the LWIA have a record of the cost allocation plan approved by the cognizant agency and did the LWIA apply these costs accurately and consistently? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the plan and paper work to see how the approved indirect cost is applied. |
| 24. | Are administrative costs applied according to the plan for the particular contract number or program? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review administrative costs and how they are applied to each contract and determine if the costs are within the limits allowed. |
| 25. | Are all purchases competitively bid? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review purchase orders and verify the existence of several suppliers. |
| 26. | Has the LWIA sent a request to TDLWD for acquisition of equipment? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please ask for a copy of the request form. |
| 27. | If the LWIA has subcontracts or other cooperative agreements with service providers, do the subcontracts have cooperative | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review subcontract agreements and ensure that the agreement contains compliance information and |

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| | agreements to provide information, controls, and monitoring schedules to ensure compliance with these provisions? | | | | monitoring schedule. |
| 28. | Does management provide personnel approving and pre-auditing expenditures with a list of allowable and unallowable expenditures? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review allowable and unallowable list management provided to personnel. |
| 29. | Is there separate accountability for charges and costs between federal and nonfederal activities? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the accountability for cost and charges to federal and nonfederal activities. |
| 30. | Are adjustments to unallowable costs made where appropriate and follow-up action taken to determine the cause? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if there are unallowable costs and if they have been corrected, and also followed up to avoid future occurrences. |
| 31. | Have internal and external communication channels, on activities and costs allowed, been established? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to each contract agreement regarding activities and allowed costs. |
| 32. | Have formal or informal training programs been established to provide the knowledge and skills necessary to determine activities and costs allowed? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to training manuals, developed or training held, for new subcontractors at the local level. |
| 33. | Is there interaction between management and staff regarding questionable costs? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to communications between management and staff regarding questionable costs, if any. |
| 34. | Are grant agreements (including referenced program laws, regulations, handbooks, etc.) and cost principle circulars available to staff responsible for determining activities allowed and allowable costs under federal awards? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please see if the fiscal staff at the LWIA has the WIA Financial Supplementary Handbook or the One Stop Guide for reference and the WIA law and regulations. |
| 35. | Does management review supporting documentation of allowable cost information? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Consult with management team or responsible party for reviewing allowable costs. |
| 36. | Are comparisons with the budget and expectations of allowable costs made? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the procedure used to compare budget and allowable costs. |
| 37. | Are analytical reviews and audits performed? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review audit report. |

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| 38. | Is the accounting system capable of scheduling payments for accounts payable and requests for funds from treasury to avoid time lapse between drawdowns and actual disbursements of funds? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the procedure used to avoid time lapse between drawdowns and actual disbursement of funds. |
| 39. | Is there variance reporting of expected versus actual cash disbursements of federal awards and drawdowns of federal funds? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check if there are variances between cash disbursement and drawdown of federal funds. |
| 40. | Are there periodic independent evaluations (e.g., by internal audit, top management) of entity cash management, budget and actual results, repayment of excess interest earnings, and federal drawdown activities? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Check if evaluation has been made regarding cash management, budget and actual results, repayment of excess interest earnings, and federal drawdown activities. |
| 41. | Are contractor and subcontractor payrolls monitored to ensure certified payrolls are submitted? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the agreements and contract terms between contractor and subcontractor. |
| 42. | Are management reviews performed to ensure that contractors and subcontractors are properly notified of the Davis-Bacon Act (for incumbent worker or for on-the-job training) services? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the Davis-Bacon Act requirements. |
| 43. | Are periodic audits of detailed transactions conducted? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the audit report. |
| 44. | Are accurate records maintained on all acquisitions and dispositions of property acquired with federal awards? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please see if records kept on all acquired property are up-to-date and that a copy has been sent to TDLWD. |
| 45. | Are property tags placed on equipment? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please to see if all property acquired with federal funds is tagged. |
| 46. | Is a physical inventory of equipment periodically taken and compared to property records? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please see if the inventory listing of all equipment is up-to-date. |
| 47. | Have procedures been established to ensure that the federal awarding agency is appropriately reimbursed for dispositions of property acquired with federal awards? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the procedure developed to ensure appropriate reimbursement for acquired property. |

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| 48. | Are policies and procedures in place for responsibilities of record keeping and authorities for disposition? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the policy for record keeping or interview fiscal management staff responsible for this duty. |
| 49. | Does the accounting system prevent obligations or expenditures of federal funds outside of the period of availability? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please interview the fiscal management staff about how they prevent expenditures from occurring outside the contract period. |
| 50. | Are channels of communication established for people to report suspected improprieties in the use or disposition of equipment? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please interview the management about how suspected improprieties in the use or disposition of equipment are prevented. |
| 51. | Does management review the results of periodic inventories and follow-up on inventory discrepancies? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the listing of inventory that the management reviewed before forwarding a list to TDLWD. |
| 52. | Does management review property dispositions to ensure appropriate valuation and reimbursement to the federal awarding agency? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review management's property valuation and reimbursement. |
| 53. | Does the budgetary process consider the period of availability of federal funds as to both obligation and disbursement? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the quarterly financial expenditure reports forwarded to the awarding agency. |
| 54. | Are the entity's operations such that it is unlikely there will be federal funds remaining at the end of the period of availability? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review how fiscal management assures that federal funds received are expended before the contract is closed. |
| 55. | Are un-liquidated commitments canceled at the end of the period of availability? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the directives of management to staff regarding un-liquidated commitments. |
| 56. | Are un-liquidated balances periodically reported to the appropriate level of management, with follow-up? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if management has any decisions or directives for fiscal staff on un-liquidated balances. |
| 57. | Are periodic reviews of expenditures before and after cut-off dates performed to ensure compliance with period of availability requirements? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review expenditure goals to ensure that funds have been expended before the ending dates of funding availability. |
| 58. | Does management perform | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review expenditure |

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| | periodic reviews of reports showing budget and actual expenditures for a specified period? | | | | reports provided to management for decision making. |
| 59. | Is there a clear assignment of authority for issuing purchasing orders and contracting for goods and services? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review duties of the fiscal staff. |
| 60. | Does the procurement manual incorporate federal requirements? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the procurement manuals of the subcontractor. |
| 61. | Have procedures been established to identify risks arising from conflicts of interest, e.g., kickbacks, related-party transactions, bribery? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the conflict of interest policy of the sub-grantee and please check if staff are aware of this policy. |
| 62. | Are conflict of interest statements maintained for individuals responsible for procurement of goods and services? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check with staff responsible for this duty. |
| 63. | Is there an official written policy for suspension and debarment that: a. Contains or references the federal requirements? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the disbarment and suspension policy. If one is not available, please check to see if any written document is provided to staff regarding this provision. |
| | b. Prohibits the award of a sub-award, covered contract, or any other covered agreement for program administration, goods, services, or any other program purpose with any suspended and debarred party? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the disbarment and suspension policy. If one is not available, please check to see if any written document is provided to staff regarding this provision. |
| | c. Requires staff to determine that entities, receiving sub-awards of any value and procurement contracts equal to or exceeding \$25,000, and their principals are not suspended or debarred for inserting a clause in the agreement? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the disbarment and suspension policy. If one is not available, please check to see if any written document is provided to staff regarding this provision. |
| 64. | Is the contractor's performance, with the terms, conditions, and specifications of the contract, monitored and documented? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if all contract terms and agreements are honored by the contractor. |
| 65. | Are duties properly segregated | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the duties of |

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| | between employees responsible for contracting and accounts payable and cash disbursing? | | | | employees in accounts payable and cash disbursement. |
| 66. | Do supervisors review procurement and contracting decisions for compliance with federal procurement policies? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the procurement procedures, or policy, or manual the contract uses. |
| 67. | Are procedures established to verify that vendors providing goods and services under the award have not been suspended or debarred from federal procurement contracts? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the procedure the contract uses to verify vendor's status. |
| 68. | Are procurement actions appropriately documented in the procurement form TDLWD established? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check file and the documents to assure activities regarding procurements are documented. |
| 69. | Has a system been established to assure that procurement documentation is retained for the time period required by the A-102 Common Rule, OMB Circular A-110, award agreements, contracts, and program regulations? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the procurement procedures and verify if the rules for procuring goods and services are followed. |
| 70. | Does management periodically conduct independent reviews of procurements and contracting activities to determine whether policies and procedures are being followed as intended? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please interview management and find out if there are documents showing independent reviews of the financial system to ensure policies, etc. are followed. |
| 71. | Are mechanisms in place to ensure that program income is properly recorded as earned and deposited in the bank as collected? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the quarterly financial reports submitted to the grantor. |
| 72. | Does management compare program income with the budget and investigate significant differences? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please interview the involvement of management in this process. |
| 73. | Does management perform an internal audit of program income? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please interview the involvement of management in this process. |
| 74. | Is there a tracking system which reminds staff when reports are due? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check if there is a tracking system alerting staff of due reports. |

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| 75. | Is the general ledger or other reliable records the basis for reports? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the documents used for reporting. |
| 76. | Do supervisors review reports to assure the accuracy and completeness of data and information included in the reports? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if reports were provided to management or supervisors for their review. |
| 77. | Is the required accounting method used to prepare the reports (e.g., cash or accrual)? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the accounting method. |
| 78. | Is there an established accounting or information system that provides for reliable processing of financial and performance information for federal awards? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the financial system's capability to process financial information for reporting purposes. |
| 79. | Do communications from contractors corroborate information included in the reports for federal awards? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review contract terms. |
| 80. | Is there a periodic comparison of reports with supporting records? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check if financial reports have supporting documents. |
| 81. | Do subrecipients demonstrate that: a. They are willing and able to comply with the requirements of the award? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check if the sub-recipient is complying with the requirements of the contracts awarded |
| | b. They have accounting systems, including the use of applicable cost principles, and internal control systems adequate to administer the award? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| 82. | Do official written policies exist establishing: a. Communication of federal award requirements to subrecipients? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the local policy established that covers the areas mentioned in questions 82 a,b,c, and d. |
| | b. Responsibilities for monitoring subrecipients? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | c. Processes and procedures for monitoring? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | d. A methodology for resolving subrecipient findings of subrecipient noncompliance or weaknesses in internal control? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |

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| | e. Requirements for and processing of subrecipient audits, including appropriate adjustment of pass-through entity's accounts? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| 83. | Is the subrecipients' compliance with audit requirements monitored by using techniques such as: a. Determining by inquiry and discussion whether the subrecipient met the threshold requiring an audit under OMB Circular A-133? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | b. If an audit is required, assuring that the subrecipient submits the report package or the documents required by the latest OMB circulars and/or the recipient's requirements? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | c. If a subrecipient was required to obtain an audit in accordance with OMB Circular A-133 but did not do so, following-up with the subrecipient and taking appropriate actions (withholding further funding) until the audit requirements are met? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| 84. | Has management identified for subrecipients the federal award information (e.g., CFDA title and number, award name, name of federal agency, amount of award) and applicable compliance requirements? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review if the CFDA, title, number award amounts, etc., mentioned in question 111, are identified for contracts awarded |
| 85. | Has management included in the agreements with subrecipients the requirement to comply with the compliance requirements applicable to the federal program including the audit requirements of OMB Circular A-133? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review if management has provided and circulated the OMB Circular A-133 to staff to make them aware of A-133 Administrative Requirement. |

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| 86. | Is subrecipient's compliance with federal program requirements monitored using such techniques as the following: a. Issuing timely management decisions for audit and monitoring findings to inform the subrecipient whether the corrective action planned is acceptable. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the monitoring techniques used by the subrecipient and check which of items the procedure fulfills. |
| | b. Maintaining a system to track and follow-up on reported deficiencies related to program funded by the recipient and ensuring that timely corrective action is taken. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | c. Maintaining regular contacts with subrecipients and making appropriate inquiries concerning the federal program. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | d. Reviewing subrecipient reports and following-up on areas of concern. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | e. Monitoring subrecipient budgets. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | f. Performing site visits to subrecipients to review financial and programmatic records and observe operations. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | g. Offering subrecipients technical assistance when needed. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| 87. | Do the standard award documents used by the nonfederal entity contain: a. A listing of federal requirements that the subrecipient shall follow? (Items can be specifically listed in the award document, attached as an exhibit to the document, or incorporated by reference to specific criteria). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if the contract or agreement between the recipient and federal funds grantor has all of the criteria listed under (a) (b) and (c). Note: not all contracts will have these guidelines listed. |

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| | <p>b. The description and program number for each program as stated in the Catalog of Federal Domestic Assistance (CFDA)?</p> <p>Note: If the program funds include pass-through funds from another recipient, the pass-through program should be identified.</p> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | <p>c. A statement signed by an official of the subrecipient stating that the subrecipient was informed of, understands, and agrees to comply with applicable compliance requirements?</p> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| 88. | Is a record keeping system in place to assure that documentation is retained for the time period required by the recipient? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the record keeping system of the recipient of federal funds. |
| 89. | Are procedures in place to provide channels for subrecipients to communicate concerns to the pass-through entity? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the procedure used to communicate concerns to sub-recipients. |
| 90. | Has a tracking system been established to assure timely submission of required reporting, such as: financial reports, performance reports, audit reports, on-site monitoring reviews of subrecipients, and timely resolution of audit findings? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check with management or staff for a tracking system. |
| 91. | Are supervisory reviews performed to determine the adequacy of subrecipient monitoring? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please interview management or check written reviews by management about the financial monitoring at the subcontractors level. |
| 92. | Is a current, fully executed, WIA contract, along with all amendments, at the LWIA administrative office? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check if contracts are kept at the administrative office. |
| 93. | Does the LWIA have a documented system of contract | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the contract terms and agreements made to |

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| | administration which ensures that subcontractors perform within the terms of their subcontracts? | | | | subcontractors. |
| 94. | Are there mechanisms to ensure that no more than 5% of the youth funds serve non-disadvantaging youth? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the expenditures for the youth program. |
| 95. | Does the payroll for summer youth participants exceed payment amount? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review contract document. |
| 96. | Were expenditures charged to contract prior to the contract's beginning date? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review beginning and end date to determine charges. |
| 97. | Were there discrepancies in the participant's payroll enrolled in OJT/Incumbent Worker and NEG programs? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review terms of contract. |
| 98. | Has the LWIA developed a policy for employee travel expense payment? If not, is the LWIA following the State travel reimbursement policy? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check what policy the LWIA or their employees are following? |
| 99. | Does the rate of reimbursement for travel exceed the allowed state amount? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the policy or payments made for travel expenses. |
| 100. | Is there a method used by the LWIA to maintain personal costs for employees working in several programs? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check time the distribution sheet employees submit to the LWIA. |
| 101. | Does the financial record the LWIA submitted to TDLWD agree with the accounting records of the LWIA? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please compare the accounting records of the LWIA to the records submitted to TDLWD. |
| 102. | Has the LWIA met or exceeded the minimum 30% expenditure requirement for out-of-school youth? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the active youth contract to determine the percentage. |
| 103. | Are employees or administrators using WIA owned vehicles for normal commute from home to work? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the policy to find out if use of vehicles, from home to work, is part of a compensation plan. |
| 104. | Does the LWIA have personal mobile phone policy when a staff member is approved to use personal phones for business? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please read either the state policy or LWIA policy about how personal phones are used for business related calls. |

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| | How are payments for business calls calculated? | | | | |
| 105. | Do staff or administrators use logs to distinguish personal & business call payments? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check method of payment when personal mobiles are approved for making business calls. |
| 106. | Was there excess cash on hand when examining drawdown amounts at the time of monitoring visit? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check drawdown amount expenses to determine excess cash on hand. |

**PROGRAM QUESTIONNAIRE
ADULT**

Subrecipient: _____

Reviewer: _____ Date of Review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____

Date: _____

**LOCAL WORKFORCE INVESTMENT MONITORING TOOL
PROGRAM QUESTIONNAIRE (ADULT)**

| | QUESTION | YES | NO | N/A | PARAMETERS |
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| 1. | Has the date of birth been verified and documented? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check if any of these are kept in the file: Photocopies of Drivers License, Social Security Card, State ID, Birth Certificate, U.S. Passport, Permanent/Alien Resident Card. |
| 2. | Does male, 18yrs & born after 1-01-60, have his Selective Service registration? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if the register #/card is in the file of the participant. |
| 3. | Has a veteran seeking any services been made aware of their entitlement to priority of services, and were they provided services to adult program services? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the prior status of the individual seeking services (referencing) the Military Services form and DD214, as the attachment. |
| 4. | Have the age and social security card been verified? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check for photocopies of Driver's License, State ID, Birth Certificate, U.S. Passport, Permanent/Alien Resident Card. |
| 5. | Is the date of application documented? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check e-CMATS which contains the WIA application date Alien Resident Card. |
| 6. | Has the participant & the case manager signed the application? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check for application signed by participant and case manager. |
| 7. | Has eligibility been verified? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check for photocopies of Driver's License, Social Security Card, State ID, Birth Certificate, U.S. Passport, Permanent/Alien Resident Card. |
| 8. | Has the Equal Employment Opportunity Statement been signed by the participant and the case manager? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Form requires signature from participant and case manager and in file of participant. |

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| 9. | Has the participant received core services? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Documentation of all core services provided Examples in TEGL 7-99. |
| 10. | Is there documentation to show that the participant did not find work after receiving core services? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check documentation of all intensive services and evidence that participant was unable to obtain employment after initial core service. Please check random participant files. |
| 11. | Has the Individual Employment Plan (IEP) been developed after core services and is training linked to a demand occupation? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | The IEP requires signature from participant and case manager. Demand occupations should be provided in Local Plan. |
| 12. | If participant has disabilities, is the LWIA considering him as a family of one? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check documentation showing funding amount and procedure used to determine amount. |
| 13. | Has attendance during training been properly documented? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check attendance records. |
| 14. | Are there case notes to demonstrate the progress of the participant? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check Case manager's notes providing evidence of participant's progress throughout services. |
| 15. | Does the ITA meet the LWIA's requirement for time duration and cost limitation? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check explanation of procedure for which funding amount was determined. |
| 16. | Does the provider of training services appear in the list of eligible training providers? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review Training Providers list on E&T Web site. |
| 17. | Can the LWIA verify that the participant has not met other grant requirements before WIA funding is made available? (Pell Grant, Scholarships, etc.) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check verification from the educational institution, and/or copy of financial aid application, documentation of other funding sources. |
| 18. | How is the satisfactory progress of the participant in training documented? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review case manager participant's case notes. |
| 19. | Does the participant file contain documentation of grievance and complaint procedures? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check documentation and signature that the participant has received the grievance procedure. |
| 20. | For files that e-CMATS indicates supplemental data, is there is an auditable record in the file? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check documentation of all training services, employment verification for 1st, 2 nd , and 3rd quarters after exit. |
| 21. | Are core services and applicable intensive services made available by the Career Center system to all | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review policy and procedure. |

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| | of the following, without eligibility requirements and regardless of the area of residency: <ul style="list-style-type: none"> ▪ All employers and job seekers? ▪ Unemployment Insurance Claimants? ▪ Veterans? ▪ Migrant and seasonal farm-workers? ▪ Individuals with disabilities? | | | | |
| 22. | Does the Career Center System have sufficient staff, equipment, and oversight to deliver core services and applicable intensive services through: <ul style="list-style-type: none"> • Self Service? • Facilitated self-service, and • Staff assisted service? (Are the necessary resources available? Back-up resources?) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please make a visual confirmation and documented what was observed. |
| 23. | Does the Career Center system have a documented procedure in place which ensures that staff provide UI claimants with the opportunity for core services and applicable intensive services? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review policy and procedure. |
| 24. | Does the Career Center system have a documented procedure in place which ensures that staff: Receive information about UI claimant's ability or availability of work offered to them? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review policy and procedure. |
| 25. | Does the Career Center system make intensive services available by the One-Stop operator, by contracts with service providers? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Review the service provider's contracts |
| 26. | Does the Career Center system have in place policies and procedures which ensure that One-Stop operators provide: <ul style="list-style-type: none"> • Coordinated resources and supportive services? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review policy and procedure. |
| | <ul style="list-style-type: none"> • Services to assist adults and dislocated workers? | | | | Same as above |

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| | <ul style="list-style-type: none"> • Accurate information about the availability of supportive services in the LWIA? | | | | Same as above |
| | <ul style="list-style-type: none"> • Referral to activities which provide supportive services? | | | | Same as above |
| 27. | <p>Does the LWIA system have policies and procedures in place which demonstrate that:</p> <ul style="list-style-type: none"> • Follow-up services are included in IEPs? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review policy, procedure and random participant files |
| | <ul style="list-style-type: none"> • Proposed monetary assistance during and throughout follow-up services are included in IEPs? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | <ul style="list-style-type: none"> • Criteria used to provide support services to individuals who are employed and earning self-sufficient wages? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| 28. | <p>Does the Career Center system have documentation which the One-Stop operator determines that:</p> <p>Participants need training services and have the skills and qualifications to successfully complete a training program?</p> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review policy and procedure, i.e., core first, employment search, intensive second, employment search, and then training. (There are exceptions for IWT and Skill Shortage grants.) |
| 29. | <p>Does the Career Center System have documentation which demonstrates that participants are determined to be eligible through state priority system?</p> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review policy and procedure. |
| 30. | <p>In the event of limited adult program funds in the LWIA (75% expended by end of 3rd quarter), does the Career Center system have records which show the accurate use of “public assistance” or “low income” adult eligibility per the HHS table of Lower Living Standard Income Levels?</p> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review policy and procedure. LWIA must provide funding expenditure information. |
| 31. | <p>Does the LWIA have policies and procedures in place which ensure that a participant in a program shall not displace other employees:</p> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review policy and procedure |

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| | <ul style="list-style-type: none"> Who are on layoff from similar jobs? | | | | |
| | <ul style="list-style-type: none"> Whom the employer has terminated with the intention of filling the position with subsidized and/or employees? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | <ul style="list-style-type: none"> Whose place for promotion is infringed upon? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| 32. | Does the LWIA have in place policies and procedures regarding wage and labor standards, and health and safety standards that comply with WIA regulations? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review policy and procedure. |
| 33. | Is there a criteria developed to target those most in need of training services? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review policy and procedure. |
| 34. | Does the LWIA system have documentation showing the follow-up services for a minimum of 12 months following the first day of employment, to registered participants who are placed in unsubsidized employment? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review policies, procedures, random participant files. Ex: Case notes. |
| 35. | Has the LWIA keyed all WIA participants into the e-CMATs System? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check participants files and compare to information keyed into e-CMATs. |
| 36. | Does the LWIA have an employee who verifies data entered into e-CMATs for accuracy? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please interview data-entry person to verify accurate data entry. |
| 37. | Have formal or informal training programs been established to provide the knowledge and skills necessary to determine activities and costs allowed? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check documentation or notes that training has been provided to program staff on allowable activities. |
| 38. | Are there written policies to provide direction for making and documenting eligibility determinations? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check eligibility policy for Dislocated workers and e-CMATs. |
| 39. | Are eligibility objectives and procedures clearly communicated to employees? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if a memorandum was issued or another mechanism was used to communicate to employees the importance of accurate eligibility determination. |

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| 40. | Are authorized signatures, (manual or electronic) on eligibility documents periodically, reviewed? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if the participant has signed the eligibility form and the form is reviewed for accuracy. |
| 41. | Is access to eligibility records limited to appropriate persons? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if the records of participants are kept in a safe place. |
| 42. | Are manual criteria checklists or automated processes used in making eligibility determinations? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if the eligibility process is performed manually or electronically or if both manual and electronic processes are used. |
| 43. | Is the information used in making eligibility determinations verified for accuracy? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if eligibility process is checked by staff other than the person who determines eligibility. |
| 44. | Are there procedures to ensure the accuracy and completeness of data used to determine eligibility requirements? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check if the subcontractor has a process to check the accuracy of participants eligibility. |
| 45. | Are program quality-control procedures performed? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if the subcontractor has staff (fiscal and program quality control staff) designated to ensure all program requirements are accurate. |
| 46. | Are program managers provided with applicable requirements and guidelines? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if manuals with program guidelines are issued to train program managers including dates on which training was provided. |
| 47. | Are conflict of interest statements maintained for individuals responsible for determining eligibility? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if staff determining eligibility are aware of the provisions of "conflict of interest" when determining eligibility. |
| 48. | Does the LWIA prohibit discrimination based on race, sex, or age in its employment practices? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if EEO posters are displayed in the reception area of the LWIA office, in the career center or wherever WIA services are offered. |
| 49. | Is the date of application captured in e-CMATS? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please confirm the date through the e-CMATS. |
| 50. | Are any participants enrolled as underemployed? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please confirm through e-CMATS or the file of the participant. |
| | If yes, is there documentation of wages being below the self-sufficient wage estimate by LWIA? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please see participant's file and documentation, or check indicator or case notes. |
| 51. | Did the participants and case managers sign the Equal Employment Opportunity Statement (English/Spanish) and is this document maintained in | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the file of the participant and the EEO terms and participant's signatures. |

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| | participant's files? | | | | |
| 52. | If participant is exited, has appropriate follow-up been documented? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the case notes for follow-up. |
| 53. | Have all grant requirements been verified? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review grant contract and content and actual services. |
| 54. | Is there sufficient information recorded by Case Managers to follow progress of a participant? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the info or statements made by Case Manager in e-CMATs. |
| 55. | Have participants without activities for 90 days been exited out of e-CMATs? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the exit indication/or case notes. |
| 56. | Are there participants who are not exited out of the program after all activities closed? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check "begin" and "end" planned dates or case notes. |

**PROGRAM QUESTIONNAIRE
DISLOCATED WORKER**

Subrecipient: _____

Reviewer: _____ Date of Review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____

Date: _____

**LOCAL WORKFORCE INVESTMENT MONITORING TOOL
PROGRAM QUESTIONNAIRE (DISLOCATED)**

| | QUESTION | YES | NO | N/A | PARAMETERS |
|----|---|--------------------------|--------------------------|--------------------------|--|
| 1. | Has the date of birth been verified and documented? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check if any of these are kept in the file: Photocopies of Driver's License, Social Security Card, State ID, Birth Certificate, U.S. Passport, Permanent/Alien Resident Card. |
| 2. | If male, 18yrs & born after 1-01-60, has he registered for Selective Service? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review and verify the selective service registration. |
| 3. | Has a veteran seeking services received priority to such services under the dislocated worker WIA program? | | | | Please check the prior status of the individual seeking services including documents such as Certificate; DD214, Report of Transfer or Discharge Paper. |
| 4. | Have the age and social security card been verified? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check photocopies of Driver's License, State ID, Birth Certificate, U.S. Passport, Permanent/Alien Resident Card. |
| 5. | Is date of WIA Application captured in e-CMATS? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check see e-CMATS page which contains WIA application date. |
| 6. | Is the date of hard copy application documented? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check application signed by participant and case manager. |
| 7. | Has eligibility been verified? Dislocated a,b,c,d (documentation of): a. Terminated or laid off, received notice of pending termination, is eligible or has exhausted Unemployment Compensation, demonstrated attachment to the workforce, but not eligible for UI due to insufficient earnings or employer not being covered, or | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check Separation Notice, UI records, Public Announcement of layoff, etc. |

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| | b. Terminated or layoff due to permanent plant closure, facility has made announcement of closure in 180 days, or | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check Separation Notice, UI records, Public Announcement of layoff, etc. |
| | c. Once self-employed but unemployed due to economic conditions or disaster, or | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | d. Displaced Homemaker. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check Separation notice of spouse and a marriage certificate. |
| 8. | Did the participant and case manager sign Equal Employment Opportunity Statement (English/Spanish), and is the document maintained in the participant's files? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the form requiring signature from participant and the case manager. |
| 9. | Has the participant received core services, and are they documented? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check documentation of all core services provided (examples are in TEGl 7-99) and case manager notes. |
| 10. | Is there documentation of intensive services that participants received? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check documentation of all core services provided (Examples in TEGl 7-99) and case manager notes. |
| | Is there documentation, that after a core service was provided, that the participant was unable to obtain employment? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check documentation of all intensive services and evidence that participant was unable to obtain employment after initial core service. |
| 11. | Have Individual Employment Plans been developed after core services, and is training linked to a demand occupation? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | The IEP requires a signature from participant and from the case manager. Demand occupations should be provided within Local Plan. Please check for these. |
| 12. | Has Pell Grant, Wilder-Naifeh, Hope, TSAC aid been considered in assisting the students financial needs? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check for verification of the educational institutional, and/or copy of financial aid application. |
| 13. | Has the subcontractor developed an IEP for his or her participants? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if an employment development plan has been established for each participant. |
| 14. | Has the subcontractor followed the IEP that was developed? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if there was follow-up to ensure that the IEP was followed. |
| 15. | If participant has disabilities, is the LWIA considering him as a family of one? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check for documentation showing funding amount and procedure used to determine amount. |
| 16. | Has attendance during training been properly documented? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the attendance records. |
| 17. | Are Case Notes in e-CMATS adequate to follow participant's progress? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check case manager's notes providing evidence of participant's progress throughout services. |

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|-----|--|--------------------------|--------------------------|--------------------------|---|
| 18. | Does the ITA meet the LWIA's requirement for time duration and cost limitation? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review Training Providers list on E&T Web site. |
| 19. | Can the LWIA verify that the participant has not met other grant requirements before WIA funding is made available? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check for verification from the educational institution, and /or a copy of the financial aid application, documentation of other funding sources. |
| 20. | How is the satisfactory progress of the participant in training documented? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review participant's case notes. |
| 21. | Does the participant file contain documentation of grievance and complaint procedures? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check for this form that requires the signature of the participant and of the case manager. |
| 22. | For files that e-CMATS indicates as supplemental data, is there is an auditable record in the file? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check for documentation of all training services, employment verification for 1 st , 2 nd and 3 rd quarters after exit. |
| 23. | Has the LWIA developed a policy for relocation assistance and the rationale for the policy? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review policy and procedure. |
| 24. | Has the LWIA provided relocation assistance to any dislocated worker? If yes, is there a record documenting that the worker is receiving or will receive 75% of his previous wage in the new location of employment? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review relocation assistance documentation. |
| 25. | Has the LWIA followed state procedure for integrating WIA Title I funds and Pell Grant for dislocated workers who need classroom training activities? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review policy and procedure. |
| 26. | Are authorized signatures (manual or electronic), that are on the eligibility documents, periodically reviewed? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if the participant has signed the eligibility form. |
| 27. | Is access to eligibility records limited to appropriate persons? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if the records of participants are kept in a safe area. |
| 28. | Is the information used in making eligibility determinations verified for accuracy? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if the eligibility process is checked by staff other than the person who determines eligibility. |
| 29. | Are channels of communication established for people to report suspected eligibility improprieties? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see for the policy or memorandum issued regarding suspected eligibility improprieties. |
| 30. | Are program quality control procedures performed? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Does more than one member of the staff check for errors in the participant's file? |

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|-----|---|--------------------------|--------------------------|--------------------------|--|
| 31. | Are conflict of interest statements maintained for individuals responsible for determining eligibility? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if staff are aware of the conflict of interest. |
| 32. | Does the LWIA prohibit discrimination based on race, sex, or age in its employment practices? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if EEO posters are posted and if participants are made aware of EEO provisions. |
| 33. | Is date of application captured in e-CMATs? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please confirm if the date of application, for a participant, is captured in e-CMATs. |
| 34. | Does the provider of training services appear in the list of eligible training providers? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if the subcontractors is approved on the training providers list. (Check the state's Web site.) |
| 35. | If participant is exited, has appropriate follow-up been documented? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if grant requirements are followed and if there was a follow-up of participants during program and after exit. |
| 36. | Are any participants enrolled as underemployed? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if participants are documented as underemployed. |
| | If yes, is there documentation of wages being below self-sufficient wage est. by LWIA? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the documentation used to determine the self-sufficient wage. |
| 37. | If participant is exited, has appropriate follow-up been documented? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check case notes after exit. |
| 38. | Is there sufficient information recorded by Case Managers to follow progress of a participant? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the info or statements made by Case Managers in e-CMATs. |
| 39. | Have participants, without activities for 90 days, been exited out of e-CMATs? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the exit indication/or case notes. |
| 40. | Are there participants who have not been exited out of the program after all activities closed? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the "begin" and the "end" planned dates or case notes. |
| 41. | If a dislocated worker is in OJT training, are the payments and hours of training as indicated in the contract terms? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the contract terms. |
| 42. | Does the OJT contract have assurances attached to the contract? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check if the OJT contracts have assurances attached to the contract being monitored. |

**PROGRAM QUESTIONNAIRE
(Asset WORKS PROJECT)**

Subrecipient: _____

Reviewer: _____ Date of Review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____

Date: _____

LOCAL WORKFORCE INVESTMENT MONITORING TOOL
PROGRAM QUESTIONNAIRE (Asset Works)

| | QUESTION | YES | NO | N/A | PARAMETERS |
|----|--|--------------------------|--------------------------|--------------------------|---|
| 1. | Is the subcontractor for this grant in the local area for the LWIA that received these grants? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Check with program staff or the contracting office in the LWIA. |
| 2. | Has the worker received skills upgrade training? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please verify with the information the LWIA received from the employer. |
| 3. | Did the subcontractor submit its monthly expenditures in a timely manner? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Review the reports submitted to the LWIA. |
| 4. | If any, did the LWIA refer new employees for skills upgrade? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Check in the file for the participants or in CMATs or check with staff responsible for the grant. |
| 5. | | | | | |
| 6. | | | | | |
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**PROGRAM QUESTIONNAIRE
(YOUTH)**

Subrecipient: _____

Reviewer: _____ **Date of Review:** _____

Executive Director Signature: _____ **Fiscal Director Signature:** _____

Date: _____ **Date:** _____

**LOCAL WORKFORCE INVESTMENT MONITORING TOOL
PROGRAM QUESTIONNAIRE (YOUTH)**

| | QUESTION | YES | NO | N/A | PARAMETERS |
|----|---|--------------------------|--------------------------|--------------------------|--|
| 1. | Has the date of birth been captured for all youth? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please look for photocopies of Driver's License, State ID, Birth Certificate, U.S. Passport, Permanent/Alien Resident Card. |
| 2. | If male, 18yrs & born after 1-01-60, has he registered for Selective Service? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please look for photocopies of Driver's License, State ID, Birth Certificate, U.S. Passport, Permanent/Alien Resident Card, Selective Service Website or Selective Service card. |
| 3. | Did LWIA verify age and social security number? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please look for photocopies of Driver's License, State ID, Birth Certificate, U.S. Passport, Permanent/ Alien Resident Card. |
| 4. | Is the date of WIA application captured in e-CMATS? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please look for the e-CMATS page which contains WIA application date. |
| 5. | Did participant sign and date the application? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please look for the participant's signature and the signature of the case manager. |
| 6. | Has eligibility been verified? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see the eligibility criteria used to verify eligibility. |
| 7. | Did the participant and the case manager sign the Equal Employment Opportunity Statement (English/Spanish), and is it maintained in participant's file? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if the participant and the case managers have signed the EEO form. |
| 8. | Were core services provided for youth documented? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please document all of all core services provided. |
| 9. | Were intensive services provided to | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please document all of all training |

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| | youth documented? | | | | services and evidence that participant was unable to obtain employment after initial core service. |
| 10. | Have Individual Service Strategies been developed after core services and is training linked to a demand occupation? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please look for required signatures from participant and case manager for the IEP. Demand occupations should be provided within Local Plan. |
| 11. | Has Individual Service Strategies been developed based off of an objective assessment of the academic levels, skill levels, and service needs of each participant? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please see WIA Section 129(c)(1)(A). |
| 12. | Are services, provided to youth, based on service needs documented, in the Individual Service Strategy, as a result of an objective assessment? Are employment goals and appropriate achievement objectives documented, taking into account the assessment? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please see WIA Section 129(c)(1)(B). |
| 13. | If participant has disabilities, is the LWIA considering him as a family of one? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the documentation used for verifying disability. |
| 14. | Has attendance during training been properly documented? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please verify attendance records/case notes. |
| 15. | Are case notes being utilized? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please see case manager's notes providing evidence of participant's progress throughout services. |
| 16. | Does the ITA meet the LWIA's requirement for time duration and cost limitation? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review policy and procedure; request explanation of procedure for which funding amount was determined. |
| 17. | Has the youth been tested for a basic skills deficiency? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see test results. |
| 18. | How does the LWIA define additional assistance to youth? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the LWIA's definition of youth needing additional assistance |
| 19. | How is the satisfactory progress, of the participant in training, documented? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review participant's case notes. |
| 20. | Does the participant file contain documentation of grievance and complaint procedures? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check for this form that requires the signature of the participant and the signature of the case manager. |
| 21. | Did funds spent on youth determined not to be economically disadvantaged constitute more than five percent (5%) of the youth | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see the eligibility used to determine 5%. |

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| | enrollees, by program year? | | | | |
| 22. | Were youth-service providers obtained through a competitive procurement basis? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the provider list used by the subcontractor. |
| 23. | Do out-of-school youth meet the following criteria: | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Review e-CMATs Discoverer Report and random participant files for eligibility. |
| | A. School drop-out or | | | | |
| | B. High School Graduate that is | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | ▪ Deficient in basic skills | | | | |
| | ▪ Unemployed or underemployed? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| 24. | Are youth funds, amounting to 30 percent, being used to serve the out-of-school population? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the allocation method used to ensure that 30% of funds are used to serve out-of-school; use the e-CMATs/Discoverer Report as an additional reference. |
| 25. | Are all TEN required elements of the Youth Program being made available in the Local Area? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the LWIA's current plan; refer to literature and documentation, provided by administrative office, detailing which required services are available in the LWIA; provide a listing of subcontractors that are providing these elements. |
| | A. Tutoring and study skills? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | B. Alternative school services? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | C. Summer Employment Opportunities? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | D. Paid and unpaid work experiences? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | E. Occupational skills training? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | F. Leadership development opportunities? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | G. Support services (locally defined)? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | H. Adult mentoring? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | I. Comprehensive guidance and counseling? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | J. Follow-up? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |

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| 26. | Is the Youth Council meeting regularly? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if a parent of a youth, also a youth is represented in the youth council. |
| | A. Is membership attending meetings? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | B. Is there a quorum when contracts are approved and Request for Proposals (RFPs) issued? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| 27. | If the LWIA has youth participants with ITAs (Individual Training Accounts), are the participants: | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see the age of youth for training approval. |
| | a. Age 18 and above? | | | | |
| | b. Dually enrolled in the adult program or the dislocated worker program? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if the youth is enrolled in the adult program or dislocated worker program; verify that eligibility for the DW has been met. |
| | Does the LWIA use the statewide waiver for older youth ITA? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if the LWIA has provided older youth skills upgrade. |
| 28. | Does the LWIA system provide youth referrals for supportive services? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see the referral process used. |
| 29. | Does the LWIA system provide objective assessments for youth participants and work experiences for youth such as: | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see the file of youth to verify these stated activities (on the left). |
| | ▪ Instruction in employability skills? | | | | |
| | ▪ Exposure to the aspects of industry such as team work, internship, paid and unpaid community service, or job shadowing? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| 30. | Does the LWIA system provide objective assessments, for youth participants, which cover academic levels, skill levels, and service needs of each participant and which will also include a review of: • Basic skills? • Occupational skills? • Prior Work Experience? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please see WIA Section 129(c)(1)(A). |

| | | | | | |
|-----|--|--------------------------|--------------------------|--------------------------|---|
| | <ul style="list-style-type: none"> • Employability? • Interest? • Aptitudes? • Supportive service needs? • Developmental needs? | | | | |
| 31. | <p>Does the LWIA system include Youth Program components which include leadership, development opportunities, such as:</p> <ul style="list-style-type: none"> • Exposure to post-secondary education opportunities? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <p>Please check to see youth file to ensure the six activities listed on the left have been provided as stated in the Individual Development</p> <p><i>Plan Refer to Participant Files for documentation (case notes) – review completion certificates if available (IEP)</i></p> |
| | <ul style="list-style-type: none"> • Community and service learning projects? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | <ul style="list-style-type: none"> • Peer-centered activities? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | <ul style="list-style-type: none"> • Team leadership training? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | <ul style="list-style-type: none"> • Training in decision-making? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | <ul style="list-style-type: none"> • Citizenship training? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| 32. | Are there written policies to provide direction for making and documenting eligibility determinations? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see the eligibility indicator marked in e-CMATs and in the file of the participant. |
| 33. | Are there procedures to calculate eligibility amounts that are consistent with program requirements? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see the mechanism that the subcontractor uses to calculate performance measures. |
| 34. | Are eligibility objectives and procedures clearly communicated to employees? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if a memorandum was issued or other mechanisms was used to communicate to employees the importance of accurate eligibility determination. |
| 35. | Are authorized signatures (manual or electronic) on eligibility documents periodically reviewed? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if the participant has signed the eligibility form. |
| 36. | Is access to eligibility records limited to appropriate persons? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if the records of participants are kept in a safe place. |
| 37. | Does the LWIA provide work experience for youth? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if case management's notes indicate this youth activity. |
| 38. | Is the LWIA paying wages and benefits for youth in work experience? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the hourly wage statements in the case notes or the type of activity in e-CMATs. |

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|-----|--|--------------------------|--------------------------|--------------------------|--|
| 39. | Does the LWIA have a year round program? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if the activity states that it is year round. |
| 40. | Are youth provided follow-up services for 12 months after program exit? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see dates, agenda or staff time used for training regarding eligibility. |
| 41. | Does the LWIA have a separate Summer Youth Program? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the “beginning” and “ending” dates. |
| 42. | Does the LWIA prohibit discrimination based on race, sex, or age in its employment practices? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if posters regarding EEO are posted in the offices where participants are served and welcomed. |
| 43. | Is date of application captured in e-CMATs? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if the date of application to the WIA program is captured in e-CMATs. |
| 44. | Have all grant requirements been verified? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see the process used by staff to verify that program requirements are met. |
| 45. | Does the Youth Council meet all the criteria for a Youth Council (a youth parent or youth as a part of the council)? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check the Youth Council membership list. |

PROGRAM QUESTIONNAIRE (INCUMBENT WORKER)

Subrecipient: _____

Reviewer: _____ Date of Review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____

Date: _____

**LOCAL WORKFORCE INVESTMENT MONITORING TOOL
PROGRAM QUESTIONNAIRE (INCUMBENT WORKER)**

| | QUESTION | YES | NO | N/A | PARAMETERS |
|-----|---|--------------------------|--------------------------|--------------------------|---------------------------------|
| 1. | Does local contract contain a "Lobbying" clause? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to contract terms. |
| 2. | Does local contract have a "Nondiscrimination" clause? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to contract terms. |
| 3. | Does local contract have a "Public Accountability" clause? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to contract terms. |
| 4. | Does local contract have a "Public Notice" clause? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to contract terms. |
| 5. | Does local contract have a "Records" clause? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to contract terms. |
| 6. | Has the participant been entered into e-CMATs? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to contract terms. |
| 7. | Has the approved training been completed as stated in application? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to contract terms. |
| 8. | Has the number of full time employees to be trained been met? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to contract terms. |
| 9. | Has the company met all proposed fiscal obligations? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to contract terms. |
| 10. | Were approved budget items reimbursed upon presentation of adequate documentation? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to contract terms. |
| 11. | Was all training completed prior to September 30 of the current program year? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to contract terms. |
| 12. | Has employer signed a Layoff Aversion Attestation? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to contract terms. |
| 13. | Has the LWIA gotten approval from the local board to use up to 10% of the adult or dislocated worker funds for IWT & has it advised the state of such approval? (<u>Local formula funding only</u>) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to contract terms. |

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| | | | | | |
| 14. | Has the LWIA received final approval from the TN Department of Labor & workforce development? <u>(Local formula funding only)</u> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to contract terms. |
| 15. | When using Adult funds for incumbent worker training, the LWIA is restricted to serving lower-income (being 200% of the lower Living Standard Levels --LLSIL). Is agency in compliance with this statement? <u>(Local formula funding only)</u> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to contract terms. |
| 16. | Has the LWIA used the current IWT application provided by Workforce Development? <u>(Local formula funding only)</u> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to contract terms. |
| 17. | Has the company provided documentation of the 50% match? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to contract terms. |
| 18. | Has the company stayed within the \$25,000 cap? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to contract terms. |
| 19. | Has the LWIA completed the Incumbent Worker Application Review? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please refer to contract terms. |

PROGRAM QUESTIONNAIRE (DEI)

Subrecipient: _____

Reviewer: _____ Date of Review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____

Date: _____

**LOCAL WORKFORCE INVESTMENT MONITORING TOOL
PROGRAM QUESTIONNAIRE (DEI)**

| | QUESTION | YES | NO | N/A | PARAMETERS |
|----|--|--------------------------|--------------------------|--------------------------|---|
| 1. | Has the DEI grant recipient hired a full-time Disability Resource Coordinator leading the effort of this project? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please interview management or contact the DEI lead in the local area. |
| 2. | Is the One Stop Center programmatically and physically communicative and conducive to the needs of a person with disability? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please verify if the office, where services are provided, is accessible to people with disabilities. |
| 3. | Has the One-Stop in the area been designated as an Employment Net Work? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please interview management and verify the agreement with SSI designating the CC as an Employment Net Work. |
| 4. | Has the DRC coordinated with other service providers and formed an Integrated Resource Team to meet the needs of a customer with a disability? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please verify the existence of a Resource team and the minutes taken or verify with dates of meeting scheduled. |
| 5. | Have the services for people with disabilities been coordinated with other programs to meet all of the needs of the person with a disability? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please verify the referral system established or the mechanisms used by the career center to refer a person with a disability to other service providers. |
| 6. | Does the contractor have policies and procedures in place to ensure that adults and youth with disabilities, especially those who are ticket ticket-to-work holders, will be assisted? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please verify with staff or management the number of people with disabilities with tickets assisted in finding work or assisted with their special needs. |
| 7. | Has the person with a disability been assessed to determine his/her strengths and interests? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the Individual Employment Plans and records of people with disabilities to employment services. |

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| | Does this person meet the requirements, identified by area businesses, for unsubsidized employment? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the Individual Employment Plan and record of referral of people with disabilities to employment services. |
| 8. | Is the LWIA capturing accurate and required data elements in e-CMATs for persons with disabilities receiving WIA services? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please verify in e-CMATs that the career center staff have recorded the data elements of people with disabilities in e-CMATs. |

PROGRAM QUESTIONNAIRE (STATEWIDE WIDE and Incentive Funds)

Subrecipient: _____

Reviewer: _____ Date of Review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____

Date: _____

**LOCAL WORKFORCE INVESTMENT MONITORING TOOL
PROGRAM QUESTIONNAIRE (STATEWIDE AND INCENTIVES)**

| | QUESTION | YES | NO | N/A | PARAMETERS |
|----|--|--------------------------|--------------------------|--------------------------|---|
| 1. | Has the contractor submitted quarterly reports on a timely basis? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please verify if the required quarterly reports for expenditures and obligations have been sent to TDLWD on a timely basis. |
| 2. | Is the LWIA collecting statewide information on eligible individuals in the e-CMATS system? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please verify if data for persons served by statewide funds are collected in e-CMATS. |
| 3. | Does the targeted population reach those who are underemployed, because of their lack of certification, or expect to become employed, as a result of their participation in the program? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please see program results or reports submitted on a monthly or quarterly basis. |
| 4. | Has the contractor submitted quarterly reports on a timely basis? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please verify with management and check the required dates for submission of fiscal and program dates. |
| 5. | Is LWIA collecting statewide information on eligible individuals in the e-CMATS system? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review information keyed into e-CMATS . |
| 6. | In providing participant services, has the LWIA met the eligibility requirements of the target group to be served through the incentive grant? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the incentive plans of the sub-grantee and check to see if the target group is served. |
| 7. | Are quarterly reports submitted in a timely manner? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please verify that quarterly reports were submitted in a timely fashion. |
| 8. | If the quarterly expenditure goals have not been met, has the contractor/LWIA provided an | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check with the administrative to see if the state was provided with an explanation for the low expenditure. |

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| | explanation, in writing, to the state in the quarterly report? | | | | |
| 9. | Is the information regarding participant eligibility and services being accurately keyed into e-CMATs in a timely manner? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check to see if the eligibility and services, under statewide grants and incentive grants, are being keyed accurately in e-CMATs. |

PROGRAM QUESTIONNAIRE (NEG/TAA)

Subrecipient: _____

Reviewer: _____ Date of Review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____

Date: _____

**LOCAL WORKFORCE INVESTMENT MONITORING TOOL
PROGRAM QUESTIONNAIRE (NEG/TAA)**

| | QUESTION | YES | NO | N/A | PARAMETERS |
|----|--|--------------------------|--------------------------|--------------------------|--|
| 1. | Is the LWIA making progress integrating services provided by TAA/NAFTA? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review local plan, observe procedural process. |
| 2. | What is the procedure at the local level to respond to plant closures and mass layoffs? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review local plan; review and document the procedural process. |
| 3. | Is the local rapid response coordinator submitting information, about area rapid response activities, to the Employment and Training section of the TDLWD? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review records of rapid response activities; discuss with the rapid response coordinator if available. |
| 4. | Are needs surveys distributed and collected before mass meetings? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review surveys and discuss this mass-meeting procedure with the local administrator/rapid response coordinator. |
| 5. | Does the local, rapid response system include, in its response, these activities: | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please discuss and review this procedural process with the local administrator/rapid response coordinator. |
| | • Immediate and on-site contact with the employer, workers, and the local community? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | • Provision of information and access to it? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | • Unemployment compensation benefits, One-Stop system services, and employment and training activities? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | • Guidance or financial assistance setting up a labor Management Committee? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |

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| | <ul style="list-style-type: none"> Provision of assistance to the local board to develop a coordinated response? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| 6. | Does the contractor have policies and procedures in place to ensure that individuals, who apply for NEG services, meet the following eligibility guidelines? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review policy and procedures. |
| | <ul style="list-style-type: none"> The dislocated worker | | | | |
| | <ul style="list-style-type: none"> The civilian employee of the Department of Defense | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | <ul style="list-style-type: none"> The long-term unemployed as a result of disaster | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | <ul style="list-style-type: none"> The non-managerial employee with the Department of Defense | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | <ul style="list-style-type: none"> The armed-forces member at risk of termination due to reduction in defense expenditures | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | <ul style="list-style-type: none"> The one who is not entitled to retire or to retain pay (incident to a separation) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| 7. | <ul style="list-style-type: none"> The one who has applied for employment and training assistance before the end of the 180 day period? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | Are these targeted populations reached: | | | | |
| | a. The underemployed, because of its lack of certification? b. The unemployed, but expect to become employed, as a result of their participation in the program? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review local report and consult with local administrator. |
| 8. | Does the LWIA system have documentation in place which demonstrates the integration of services funded under TAA/NAFTA with the services funded under WIA Title I/ Wagner-Peyser. These services are: | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review documentation that demonstrates integration of services; observe procedural methods used in the LWIA system. |
| | <ul style="list-style-type: none"> Eligibility determinations | | | | |
| | <ul style="list-style-type: none"> Re-employment plans | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | <ul style="list-style-type: none"> Job-search-allowance | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |

| | | | | | |
|----|--|--------------------------|--------------------------|--------------------------|---------------------------------------|
| | applications | | | | |
| | • Relocation-allowance applications | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | • Case Management | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | • Training-waiver options. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| 9. | Were equipment-purchasing procedures followed? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please see the TDLWD Financial Guide. |

PROGRAM QUESTIONNAIRE (EEO)

Subrecipient: _____

Reviewer: _____ Date of Review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____

Date: _____

**LOCAL WORKFORCE INVESTMENT MONITORING TOOL
PROGRAM QUESTIONNAIRE (EEO)**

| | QUESTION | YES | NO | N/A | PARAMETERS |
|----|---|--------------------------|--------------------------|--------------------------|---|
| 1. | Has the LWIA appointed its equal opportunity officer for WIA Title I services? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please verify the name of each staff member with this responsibility and the name identified on poster. Please see a copy of letter to appointed staff. |
| 2. | Has the LWIA provided reasonable accommodations for persons with disability? If not, see #16 (below). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please verify this for all sites included in sample. |
| 3. | Does the LWIA provide initial and continuing notice (using the required nondiscrimination language) that it does not discriminate on any prohibited ground? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please look (or listen to) materials such as posters, broadcasts, RFPs, closed caption, etc. |
| 4. | Does the LWIA publish or broadcast program information in the news media, and if so, does the LWIA indicate in the publications and broadcasts: | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review of articles, text for PSAs, or any other form of media, i.e. newspaper articles, examples, etc. |
| | <ul style="list-style-type: none"> That the WIA funded program or activity in question is an equal opportunity employer/program? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| 5. | Has the LWIA applied the 4-Factor Analysis to its programs in order to determine how best to deliver | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check for the written policy stating review of 4-Factor Analysis and conclusions. |

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|----|--|--------------------------|--------------------------|--------------------------|---|
| | language assistance to individuals who are Limited English Proficient? | | | | |
| 6. | If the 4-Factor Analysis indicates the need for language assistance services, does the LWIA have in place one or more of the following oral interpretation services: | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review or process that LWIA follows. Example: "I speak..." cards. |
| | • Bi-lingual staff? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | • Staff interpreters? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | • Contract interpreters? Or... | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same a above |
| | • Telephone interpreter line? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same a above |
| 7. | Do the LWIA's written translation procedures fall within the "Safe Harbor" provisions? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review text or analysis and documentation of census count. |
| 8. | Does the LWIA have policies and procedures in place which ensure that interpreters and/or interpreter services provide interpretations as follows: | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review policies and procedures and the listing of certified interpreters. |
| | • With demonstrated proficiency and ability to interpret in both English and the other language, and the ability to identify consecutive, summary, simultaneous, or sight interpretations? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | • With knowledge of specialized terms and concepts of the program, vocabularies and phrases used by the LEP person? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| 9. | Does the LWIA have policies and procedures in place which ensure the following: | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review policies and procedures and the listing of certified interpreters, including payment statement. |
| | • Those interpreters must certify that they will deliver interpretations that are accurate and not biased? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

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| | <ul style="list-style-type: none"> Those interpreters shall accept payment for services only from the LWIA and never from the client? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| 10 | <p>After applying the 4-Factor Analysis, and if the need for translation of vital documents is reasonable and necessary, does the LWIA provide written translations of :</p> <ul style="list-style-type: none"> Consent and complaint forms? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review documents and/or posters. |
| | <ul style="list-style-type: none"> A list of One-Stop partners and services offered? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | <ul style="list-style-type: none"> Appeals documents? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | <ul style="list-style-type: none"> Notices requiring a response from clients? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | <ul style="list-style-type: none"> Information on the right to file complaints of discrimination? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | <ul style="list-style-type: none"> Information on the provision of services to individuals with disabilities? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | <ul style="list-style-type: none"> State wage and hour and safety and health information? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | <ul style="list-style-type: none"> Notices of free language assistance? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| 11 | <p>Does the LWIA have procedures and policies in place which ensure planning and development of:</p> <ul style="list-style-type: none"> Methods of identifying LEP individuals who need language assistance? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review these policies and procedures. |
| | <ul style="list-style-type: none"> Training for staff on the available language services and how to use them? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | <ul style="list-style-type: none"> Easily-accessible and widely-known notices of free language assistance? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | <ul style="list-style-type: none"> Training staff on monitoring interpreter activity? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| 12 | Does the covered LWIA have | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review policies and procedures, all |

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|----|--|--------------------------|--------------------------|--------------------------|--|
| | <p>policies, procedures, and auxiliary aids and services in place which ensure the reasonable and necessary delivery of program services to qualified individuals who have physical and/or mental impairments?</p> | | | | media, including videos, DVDs, etc |
| 13 | <p>Does the covered LWIA have policies and procedures in place that ensure that individuals with qualifying disabilities will be referred for auxiliary aids and services?</p> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review policies and procedures. |
| 14 | <p>Does the LWIA have in place communication devices, such as TTY or TDD, or an equally effective communication system, for participants with a hearing impairment?</p> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please visually confirm that these devices or referral phone number are available. |
| 15 | <p>If the LWIA has determined that the provision of accommodations would fundamentally alter the delivery of program, service, or activity, then does the LWIA have a written statement which details the reasons for reaching this conclusion?</p> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please check for a statement or policy regarding analysis or resources. |
| 16 | <p>Does the LWIA have clearly visible signage, at the primary entrances of each inaccessible facility, that refers individuals, with disabilities, to information about accessible facilities?</p> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please visually confirm that this signage is in place. |
| 17 | <p>Does the LWIA have the international symbol for accessibility at the primary entrances of each accessible facility?</p> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please visually confirm that this signage is in place. |
| 18 | <p>Do the LWIA's published personnel policies and procedures prohibit actions defined in Section 37.11 of the implementing regulations? These are:</p> <ul style="list-style-type: none"> Intimidation and retaliation for filing a complaint or furnishing information regarding | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review these policies and procedures for personnel. |

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| | administration of a WIA-assisted program, service, or activity. | | | | |
| 19 | Does the LWIA post approved nondiscrimination and equal opportunity complaint procedures and contact information in: | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review the signs posted in regard to EEO/Non-Discrimination provisions. |
| | • Primary entrances? | | | | |
| | • Internal memoranda, hard copy and electronic? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | • Handbooks or manuals? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | • Made available to each participant and included in the participant's file? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| | • Made available, in appropriate formats, to individuals with visual impairments? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Same as above |
| 20 | Do the LWIA's orientations and other presentations, to new employees, participants, employers and the general public, include a discussion of the nondiscrimination and equal opportunity provisions applicable to WIA programs? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Review internal memorandum to staff; manual published regarding nondiscrimination/EEO and other related provisions to train new staff Please visually confirm these. |
| 21 | Does the LWIA system have a complaint log which is used to record any complaints of discrimination? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review this complaint log. |
| 22 | Does the LWIA have documentation to ensure that all OJT plans, contracts, and other similar agreements are non-discriminatory and contain provisions regarding non-discrimination and equal opportunity? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review this documentation. |
| 23 | How does the LWIA provide disability awareness training for designated staff at the one-stop center? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please learn who is trained, when is the training held, and how frequently is the training held. |
| 24 | Has the contract agency received any discrimination complaints during the last fiscal year or during the current contract year? Explain. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review such documents and note the appropriate explanation. |
| 25 | What assurances of compliance have been signed by the agency? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review such signed assurances to answer these appropriate questions. |

| | | | | | |
|----|--|--------------------------|--------------------------|--------------------------|--|
| | When and by who were they signed? | | | | |
| 26 | What documentation does the agency keep as proof of its non-discriminatory status? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Please review documents, and/or previous audits, and corrective actions for such documentation or proof. |

MILITARY SERVICES FORM

Priority of service is the right of every qualifying individual who served in the military or eligible military spouses to receive employment, training, and placement services before non-eligible persons, as long as other provisions of the law are met. Please complete this questionnaire so we can determine your eligibility for services.

SERVED IN THE MILITARY (Section A)

Date: _____

Full Name: _____

SSN: _____

Branch of Service: _____ Discharge Type: _____

Dates of Service: _____ Rank/Rate: _____

Contact Information: (_____)

Email: _____

Home Phone ☐ Cell Phone ☐

How can we help you today? _____

As a military member or the spouse of one, you may be eligible for additional services if you can attest to belonging to at least one of the criteria below and consider it a barrier to employment:

1. A special disabled or disabled veteran; Special disabled and disabled veterans are those who are:
 - entitled to compensation (or who but for the receipt of military retired pay would be entitled to compensation: under laws administered by the Secretary of Veterans' Affairs; or, ☐ Yes ☐ No
 - were discharged or released from active duty because of a service-connected disability; ☐ Yes ☐ No
2. Homeless, as defined in Section 103(a) of the Stewart B. McKinney Homeless Assistance Act ☐ Yes ☐ No
3. A recently-separated service member, (Within 3 years of End of Active Service) who at any point in the previous 12 months has been unemployed for 27 or more consecutive weeks; ☐ Yes ☐ No
4. An offender, who has been released from incarceration within the last 12 months ☐ Yes ☐ No
5. Are you in need of a high school diploma or equivalent certificate; ☐ Yes ☐ No
6. Low-income (as defined by the State. See attached chart) ☐ Yes ☐ No

SERVED IN THE MILITARY AND ARE BETWEEN THE AGES OF 18-24 (Section B)

1. Are you between the ages of 18 and 24? ☐ Yes ☐ No
2. Do you have limited civilian work history? ☐ Yes ☐ No
3. Are you unemployed? ☐ Yes ☐ No
4. Are you transitioning from active military service? ☐ Yes ☐ No

OTHER ELIGIBLE (Section C)

5. Do you have a letter from the VA stating you are an eligible spouse? ☐ Yes ☐ No
6. Does your spouse have a total disability from a service-connected disability? ☐ Yes ☐ No
7. Has your spouse been listed as forcibly detained or interned by a foreign government or power, missing in action, or captured in line of duty for a total or more than 90 days? ☐ Yes ☐ No
8. Are you the surviving spouse of a veteran who died of a service-connected disability as evaluated by the VA or while having a total permanent service-connected disability? ☐ Yes ☐ No
9. Are you a Transitioning Service Member with any of the criteria as defined in section A or B? ☐ Yes ☐ No
10. Are you a "Wounded Warrior" currently in a treatment Facility or a Caregiver of one? ☐ Yes ☐ No

MILITARY DOCUMENTS

11. Do you have a DD214 in your possession? ☐ Yes ☐ No
12. Do you have a VA disability rating letter in your possession? ☐ Yes ☐ No

| ANNUAL Workforce Investment Income Guidelines 2014 | | | |
|--|--|--|--|
| Family Size | Poverty Level | LLSIL* - Metro | LLSIL-Non-Metro |
| 1 | \$11,670 | \$9,654 | \$8,846 |
| 2 | \$15,730 | \$15,819 | \$14,492 |
| 3 | \$19,790 | \$21,712 | \$19,890 |
| 4 | \$23,850 | \$26,805 | \$24,554 |
| 5 | \$27,910 | \$31,637 | \$28,976 |
| 6 | \$31,970 | \$37,001 | \$33,886 |
| 7 | \$36,030 | \$42,365 | \$38,796 |
| 8 | \$40,090 | \$47,729 | \$43,706 |
| 9 | \$44,150 | \$53,093 | \$48,616 |
| 10 | \$48,210 | \$58,457 | \$53,526 |
| 11 | \$52,270 | \$63,821 | \$58,436 |
| 12 | \$56,330 | \$69,185 | \$63,346 |
| | Add \$4,060 for each additional family member | Add \$5,364 for each additional family member | Add \$4,910 for each additional family member |
| *Lower Living Standard Income Level | | | |
| To use this chart, compare the poverty level for the family size against either the Metro or Non-Metro LLSIL, depending on the county of residence, using the higher of the two. | | | |
| Note - Metro LLSIL levels can only be used for the following counties: | | | |
| Anderson, Blount, Bradley, Cannon, Carter, Cheatham, Chester, Davidson, Dickson, Fayette, Grainger, Hamblen, Hamilton, Hawkins, Hickman, Jefferson, Knox, Loudon, Macon, Madison, Marion, Montgomery, Polk, Robertson, Rutherford, Sequatchie, Shelby, Smith, Stewart, Sullivan, Sumner, Tipton, Trousdale, Unicoi, Union, Washington, Williamson, Wilson. | | | |

(This page is not to be given to the Client)

Staff If a Veteran answers Yes to any question in section “A” or Yes to question 1 # in section “B” they can see the DVOP if the Discharge type is other than Dishonorable
If a Veteran’s Spouse or Other eligible answers Yes to any question in section “C” they can be seen by the DVOP

CROSS REFERENCE

(Note: OMB A-133 has a Supplement. This is updated yearly. All Grant recipients must comply with the new supplements.)

| | Requirement | Governmental Organizations | Nonprofit Organizations | Institutions of Higher Education | Commercial Organizations |
|----|---|--|--|--|------------------------------|
| A. | Uniform Administrative Requirements | 29 CFR Part 97 | 29 CFR Part 95 | 29 CFR Part 95 | 29 CFR Part 95 (grants only) |
| B. | Pre-Award Requirement/After the Award Requirement | 29 CFR Part 97.10-12 29 CFR Part 97.50-52 | 29 CFR Part 95.10-17 29 CFR Part 95.70-73 | 29 CFR Part 95.10-17 29 CFR Part 95.70-73 | |
| C. | Period of Availability and Fund | 29 CFR Part 97.23 | 29 CFR Part 95.28 | 29 CFR Part 95.28 | |
| D. | Procurement | 29 CFR Part 97.36 | 29 CFR Part 95.40-48 | 29 CFR Part 95.40-48 | |
| E. | Allowable/Unallowable Costs | A-87 Attachment A 29 CFR Part 97.22 | A-122 Att. A 29 CFR Part 95.27 | A-21 Section C 29 CFR Part 95.27 | 48 CFR 31.201- 204 |
| F. | Allowable/Unallowable Activities | A-133 | A-133 | A-133 | |
| G. | Treatment of Selected Items of Cost | A-87 Attachment B | A-122 Attachment B | A-21 (J) | 48 CFR 31.205 |
| H. | Cash Management | 29 CFR Part 97.20.21 | 29 CFR Part 95.20-23 | 29 CFR Part 95.20-23 | |
| I. | Program Income | 29 CFR Part 97.25 | 29 CFR Part 95.24 | 29 CFR Part 95.24 | |
| J. | Equipment | 29 CFR Part 97.32-33 | 29 CFR Part 95.34-36 | 29 CFR Part 95.34-36 | |
| K. | Matching, Level of Effort, Earmarking | 29 CFR Part 97.24 | 29 CFR Part 95.20-23 | 29 CFR Part 95.20-23 | |
| L. | Real Property Acquisition and Relocation Assistance | 29 CFR Part 97.31 | 29 CFR Part 95.30-37 | 29 CFR Part 95.30-37 | |
| M. | Lobbying Restrictions | 29 CFR Part 93 | 29 CFR Part 93 | 29 CFR Part 93 | 29 CFR Part 93 |
| N. | Suspension and Debarment | 29 CFR Part 98 (A-E) 29 CFR 97.35 | 29 CFR Part 98 (A-E) 29 CFR 95.13 | 29 CFR Part 98 (A-E) 29 CFR 95.13 | 29 CFR Part 98 (A-E) |
| O. | Eligibility | A-133 | A-133 | A-133 | |
| P. | Drug-Free | 29 CFR Part 98 (F) | 29 CFR Part 98 | 29 CFR Part 98 | 29 CFR Part 98 |

| | Workplace | | (F) | (F) | (F) |
|----|--|-------------------------------------|-------------------------------------|-------------------------------------|----------------|
| Q. | Non-Discrimination (Civil Rights) | 29 CFR Part 31 | 29 CFR Part 31 | 29 CFR Part 31 | 29 CFR Part 31 |
| R. | Non-Discrimination (Basis of Handicap) | 29 CFR Part 32 | 29 CFR Part 32 | 29 CFR Part 32 | 29 CFR Part 32 |
| S. | Age Discrimination of 1975 | 29 CFR Part 35 | 29 CFR Part 35 | 29 CFR Part 35 | 29 CFR Part 35 |
| T. | EO Requirements (WIA only) | 29 CFR Part 37 | 29 CFR Part 37 | 29 CFR Part 37 | 29 CFR Part 37 |
| U. | Reporting | 29 CFR Part 29 CFR Part 97.40-42 | 29 CFR Part 29 CFR Part 95.50-53 | 29 CFR Part 29 CFR Part 95.50-53 | |
| V. | Audit/Monitoring | 29 CFR Part 99 | 29 CFR Part 99 29 CFR Part 95.5 | 29 CFR Part 99 29 CFR Part 95.5 | 29 CFR Part 96 |

LWIA 1

<http://www.ab-t.org/>

http://www.tennessee.gov/labor-wfd/cc/cccounty_files/washington.htm

LWIA 2

<http://www.ws.edu/>

http://www.tennessee.gov/labor-wfd/cc/cccounty_files/hamblen.htm

LWIA 3

<http://www.knoxcac.org>

http://www.tennessee.gov/labor-wfd/cc/cccounty_files/knox_universityst.htm

LWIA 4

<http://www.ethra.org/>

http://www.tennessee.gov/labor-wfd/cc/cccounty_files/cumberland.htm

LWIA 5

<http://www.sedev.org/www>

<http://www.secareercenter.org/>

LWIA 6

http://www.tennessee.gov/labor-wfd/cc/cccounty_files/coffee.htm

LWIA 7

<http://www.uchra.com/>

<http://www.uccareercenter.com/>

LWIA 8

<http://www.workforceessentials.com/>

http://www.tennessee.gov/labor-wfd/cc/cccounty_files/montgomery.htm

LWIA 9

<http://www.nashville.gov/>

http://www.tennessee.gov/labor-wfd/cc/cccounty_files/davidson.htm

LWIA 10

<http://www.sctworkforce.org>

http://www.tennessee.gov/labor-wfd/cc/cccounty_files/maury.htm

LWIA 11

<http://www.unitedway.tn.org/>

<http://www.wtncc.tn.org/>

LWIA 12

http://www.tennessee.gov/labor-wfd/cc/cccounty_files/dyer.htm

LWIA 13

<http://www.cityofmemphis.org/>

<http://www.memphiscareercenter.com/>

State Web Sites

State Web Sites

[http:// www.tnrecovery.gov](http://www.tnrecovery.gov). This is the homepage for Tennessee's Recovery Act announcements and directives.

<http://www.tn.gov/labor-wfd/empwfd.html>. This is the homepage of the Division of Workforce Development, Department of Labor and Workforce Development

<http://www.tennessee.gov/labor-wfd/wioplan.html>. View the State's 5-Year Strategic Plan for WIA.

http://www.state.tn.us/labor-wfd/et_incumbent_faq.html. View Frequently Asked Questions about the Incumbent Worker Program

<http://www.state.tn.us/labor-wfd/graphics/TNmplwia.gif>. View the LWIA map

http://www.tn.gov/labor-wfd/et_services_prog_mgmt_plng.html View Workforce Investment Act Policies from Workforce Development

http://www.tn.gov/labor-wfd/et_services_prog_mgmt_plng_scsep.html View Senior Community Services Employment Program Policies from Workforce Development

[http://www.tennessee.gov /labor-wfd/performance/2003-04.pdf](http://www.tennessee.gov/labor-wfd/performance/2003-04.pdf). Workforce Development Performance Measures, 2005-2006

<http://www.tennesseeanytime.org/wiaetpl-app/search.html>. View the List of Eligible Training Providers

<http://www.lexisnexis.com/hottopics/tncode/> Tennessee Code Annotated **[ew.tnrecovery.gov/b](http://www.tnrecovery.gov/b)**

Federal Web Sites

<http://www.doleta.gov/Employment> and Training Administration, US Department of Labor

<http://www.doleta.gov/usworkforce/wia/act.cfm>. View Public Law 105-220, WIA 1998

<http://www.whitehouse.gov/omb/egov>. View Plans for Government Initiative

<http://wdr.doleta.gov/directives/>. ETA Training and Employment Guidance Letters/Advisories

<http://www.gpoaccess.gov/cfr/index.html>. Search the Code of Federal Regulations

http://www.whitehouse.gov/omb/circulars_a122_2004 OMB, Circular A-122

http://www.whitehouse.gov/omb/circulars-a133_compliance_supplement_2010 OMB, Circular A-133

<http://www.hhs.gov/ocr/> LEP Guidance, ETA

<http://www.gpoaccess.gov/uscode> Search the United States Code

http://wdr.doleta.gov/opr/fulltext/FINALrep_02.pdf View the Urban Institute's preliminary report on employment and training activities at faith-based institutions

<http://www.eeoc.gov/policy/ada.html> View Americans with Disabilities Act of 1990

<http://www.access-board.gov/508.htm> 36 CFR Part 1194, Electronic and Information Technology Accessibility Standards

<http://www.access-board.gov/telecomm/index.htm> 36 CFR Part 1193, Telecommunications Act Accessibility Guidelines

Department of Labor and Workforce Development
Annual Agreement Monitoring Information
Attachment A
As of July 1, 2014

| Recipient Organization | Contract Number | Contract Begin date | Contract End date | Contract Amount |
|------------------------|-----------------|---------------------|-------------------|-----------------|
|------------------------|-----------------|---------------------|-------------------|-----------------|

| | | | | | |
|--------------|------------------------------------|-----------------|------------|------------|----------------|
| LWIA 1 | Alliance for Business and Training | LW49F111ADDEI11 | 10/1/2011 | 9/30/2014 | \$480,000.00 |
| | Alliance for Business and Training | LW49F122DWRSP12 | 5/15/2013 | 6/30/2014 | \$270,685.00 |
| | Alliance for Business and Training | LW01F131ADULT13 | 10/1/2012 | 6/30/2014 | \$780,764.00 |
| | Alliance for Business and Training | LW01F131DSLWK13 | 10/1/2012 | 6/30/2014 | \$692,837.00 |
| | Alliance for Business and Training | LW49F131TWRSP13 | 12/15/2012 | 11/15/2013 | \$173,834.00 |
| | Alliance for Business and Training | LW49P111NCNTV12 | 1/2/2013 | 12/31/2013 | \$27,083.00 |
| | Alliance for Business and Training | LW49P112NCNTV12 | 2/1/2014 | 6/30/2014 | \$18,218.00 |
| | Alliance for Business and Training | LW49P111DWRSP12 | 2/5/2014 | 6/30/2014 | \$72,270.00 |
| | Alliance for Business and Training | LW01P121DSLWK13 | 7/1/2012 | 6/30/2014 | \$119,355.00 |
| | Alliance for Business and Training | LW01P121YOUTH13 | 4/1/2012 | 6/30/2014 | \$808,265.00 |
| | Alliance for Business and Training | LW49P121IWRSP13 | 10/26/2012 | 9/30/2013 | \$115,000.00 |
| | Alliance for Business and Training | LW49P121NCNTV13 | 3/17/2014 | 6/30/2015 | \$15,673.00 |
| | Alliance for Business and Training | LW01P121ADULT13 | 7/1/2012 | 6/30/2014 | \$64,491.00 |
| | Alliance for Business and Training | LW01F141ADULT14 | 10/1/2013 | 6/30/2015 | \$765,487.00 |
| | Alliance for Business and Training | LW01F141DSLWK14 | 10/1/2013 | 6/30/2015 | \$591,575.00 |
| | Alliance for Business and Training | LW49F141IWRSP14 | 1/3/2014 | 12/31/2014 | \$146,898.00 |
| | Alliance for Business and Training | LW01P131YOUTH14 | 4/1/2013 | 6/30/2015 | \$775,509.00 |
| | Alliance for Business and Training | LW01P131DSLWK14 | 7/1/2013 | 6/30/2015 | \$62,857.00 |
| | Alliance for Business and Training | LW01P131ADULT14 | 7/1/2013 | 6/30/2015 | \$20,284.00 |
| | Alliance for Business and Training | LW01P141YOUTH15 | 4/1/2014 | 6/30/2016 | \$822,322.00 |
| | Alliance for Business and Training | LW01P141ADULT15 | 7/1/2014 | 6/30/2016 | \$58,897.00 |
| | Alliance for Business and Training | LW01P141DSLWK15 | 7/1/2014 | 6/30/2016 | \$106,715.00 |
| Total Amount | | | | | \$6,989,019.00 |
| LWIA 02 | Walters State Community College | LW41F122DWRSP12 | 5/15/2013 | 6/30/2014 | \$145,607.00 |

| | | | | |
|---------------------------------|-----------------|------------|------------|----------------|
| Walters State Community College | LW02F131ADULT13 | 10/1/2012 | 6/30/2014 | \$1,153,370.00 |
| Walters State Community College | LW02F131DSLWK13 | 10/1/2012 | 6/30/2014 | \$915,913.00 |
| Walters State Community College | LW41F131IWRSP13 | 10/26/2012 | 9/30/2013 | \$90,000.00 |
| Walters State Community College | LW41F132TWRSP13 | 12/15/2012 | 11/15/2013 | \$52,800.00 |
| Walters State Community College | LW41P111NCNTV12 | 1/2/2013 | 12/31/2013 | \$27,083.00 |
| Walters State Community College | LW41P112NCNTV12 | 2/1/2014 | 6/30/2014 | \$27,548.00 |
| Walters State Community College | LW02P121ADULT13 | 7/1/2012 | 6/30/2014 | \$95,267.00 |
| Walters State Community College | LW02P121DSLWK13 | 7/1/2012 | 6/30/2014 | \$157,784.00 |
| Walters State Community College | LW02P121YOUTH13 | 4/1/2012 | 6/30/2014 | \$1,287,044.00 |
| Walters State Community College | LW41P121NCNTV13 | 3/17/2014 | 6/30/2015 | \$15,673.00 |
| Walters State Community College | LW02F141ADULT14 | 10/1/2013 | 6/30/2015 | \$1,159,554.00 |
| Walters State Community College | LW02F141DSLWK14 | 10/1/2013 | 6/30/2015 | \$761,295.00 |
| Walters State Community College | LW41F141IWRSP14 | 1/3/2014 | 12/31/2014 | \$50,000.00 |
| Walters State Community College | LW02P131YOUTH14 | 4/1/2013 | 6/30/2015 | \$1,118,049.00 |
| Walters State Community College | LW02P131ADULT14 | 7/1/2013 | 6/30/2015 | \$30,726.00 |
| Walters State Community College | LW02P131DSLWK14 | 7/1/2013 | 6/30/2015 | \$80,890.00 |
| Walters State Community College | LW02P141ADULT15 | 7/1/2014 | 6/30/2016 | \$89,388.00 |
| Walters State Community College | LW02P141DSLWK15 | 7/1/2014 | 6/30/2016 | \$155,839.00 |
| Walters State Community College | LW02P141YOUTH15 | 4/1/2014 | 6/30/2016 | \$1,188,455.00 |
| Total Amount | | | | \$8,602,285.00 |

| | | | | | |
|---------|-----------------------|-----------------|------------|------------|--------------|
| LWIA 03 | Workforce Connections | LW42F111ADDEI11 | 10/1/2011 | 9/30/2014 | \$480,000.00 |
| | Workforce Connections | LW42F122DWRSP12 | 5/15/2013 | 6/30/2014 | \$115,404.00 |
| | Workforce Connections | LW03F131ADULT13 | 10/1/2012 | 6/30/2014 | \$755,562.00 |
| | Workforce Connections | LW03F131DSLWK13 | 10/1/2012 | 6/30/2014 | \$667,750.00 |
| | Workforce Connections | LW42F131TWRSP13 | 12/15/2012 | 11/15/2013 | \$77,245.00 |
| | Workforce Connections | LW42P111NCNTV12 | 1/2/2013 | 12/31/2013 | \$27,083.00 |
| | Workforce Connections | LW42P112NCNTV12 | 2/1/2014 | 6/30/2014 | \$21,126.00 |
| | Workforce Connections | LW03P121ADULT13 | 7/1/2012 | 6/30/2014 | \$62,409.00 |
| | Workforce Connections | LW03P121DSLWK13 | 7/1/2012 | 6/30/2014 | \$115,033.00 |
| | Workforce Connections | LW03P121YOUTH13 | 4/1/2012 | 6/30/2014 | \$729,823.00 |
| | Workforce Connections | LW42P121IWRSP13 | 10/26/2012 | 9/30/2013 | \$60,000.00 |
| | Workforce Connections | LW42P121NCNTV13 | 3/17/2014 | 6/30/2015 | \$15,673.00 |
| | Workforce Connections | LW03F141ADULT14 | 10/1/2013 | 6/30/2015 | \$684,472.00 |

| | | | | |
|-----------------------|-----------------|-----------|-----------|----------------|
| Workforce Connections | LW03F141DSLWK14 | 10/1/2013 | 6/30/2015 | \$819,371.00 |
| Workforce Connections | LW03P133YOUTH14 | 4/1/2013 | 6/30/2015 | \$834,560.00 |
| Workforce Connections | LW03P131ADULT14 | 7/1/2013 | 6/30/2015 | \$18,137.00 |
| Workforce Connections | LW03P131DSLWK14 | 7/1/2013 | 6/30/2015 | \$87,061.00 |
| Workforce Connections | LW03P141ADULT15 | 7/1/2014 | 6/30/2016 | \$53,722.00 |
| Workforce Connections | LW03P141DSLWK15 | 7/1/2014 | 6/30/2016 | \$117,445.00 |
| Workforce Connections | LW03P141YOUTH15 | 4/1/2014 | 6/30/2016 | \$915,136.00 |
| Total Amount | | | | \$6,657,012.00 |

| | | | | | |
|---------|-------------------------------|-----------------|------------|------------|----------------|
| LWIA 04 | East TN Human Resource Agency | LW39F122JCRSP12 | 8/23/2012 | 12/31/2013 | \$8,800.00 |
| | East TN Human Resource Agency | LW04F131ADULT13 | 10/1/2012 | 6/30/2014 | \$1,049,627.00 |
| | East TN Human Resource Agency | LW04F131DSLWK13 | 10/1/2012 | 6/30/2014 | \$757,708.00 |
| | East TN Human Resource Agency | LW39F131IWRSP13 | 10/26/2012 | 9/30/2013 | \$100,000.00 |
| | East TN Human Resource Agency | LW39F132TWRSP13 | 12/15/2012 | 11/15/2013 | \$43,572.00 |
| | East TN Human Resource Agency | LW39F133IWRSP13 | 1/3/2014 | 12/31/2014 | \$83,498.00 |
| | East TN Human Resource Agency | LW39P111NCNTV12 | 1/2/2013 | 12/31/2013 | \$27,083.00 |
| | East TN Human Resource Agency | LW39P112NCNTV12 | 2/1/2014 | 6/30/2014 | \$19,436.00 |
| | East TN Human Resource Agency | LW04P121ADULT13 | 7/1/2012 | 6/30/2014 | \$86,698.00 |
| | East TN Human Resource Agency | LW04P121DSLWK13 | 7/1/2012 | 6/30/2014 | \$130,530.00 |
| | East TN Human Resource Agency | LW04P121YOUTH13 | 4/1/2012 | 6/30/2014 | \$1,161,169.00 |
| | East TN Human Resource Agency | LW39P121NCNTV13 | 3/17/2014 | 6/30/2015 | \$15,673.00 |
| | East TN Human Resource Agency | LW04F141ADULT14 | 10/1/2013 | 6/30/2015 | \$1,056,539.00 |
| | East TN Human Resource Agency | LW04F141DSLWK14 | 10/1/2013 | 6/30/2015 | \$1,351,053.00 |
| | East TN Human Resource Agency | LW04P131YOUTH14 | 4/1/2013 | 6/30/2015 | \$961,927.88 |
| | East TN Human Resource Agency | LW04P131ADULT14 | 7/1/2013 | 6/30/2015 | \$27,996.00 |
| | East TN Human Resource Agency | LW04P131DSLWK14 | 7/1/2013 | 6/30/2015 | \$143,553.00 |
| | East TN Human Resource Agency | LW04P141ADULT15 | 7/1/2014 | 6/30/2016 | \$82,938.00 |
| | East TN Human Resource Agency | LW04P141DSLWK15 | 7/1/2014 | 6/30/2016 | \$154,444.00 |
| | East TN Human Resource Agency | LW04P141YOUTH15 | 4/1/2014 | 6/30/2016 | \$1,092,429.00 |
| | Total Amount | | | | \$8,354,673.88 |

| | | | | | |
|---------|-------------------------------------|-----------------|-----------|-----------|----------------|
| LWIA 05 | Southeast TN Developmental District | LW52F124DWRSP12 | 5/15/2013 | 6/30/2014 | \$201,584.00 |
| | Southeast TN Developmental District | LW05F131ADULT13 | 10/1/2012 | 6/30/2014 | \$1,234,521.00 |
| | Southeast TN Developmental District | LW05F131DSLWK13 | 10/1/2012 | 6/30/2014 | \$786,027.00 |

| | | | | | |
|---------|-------------------------------------|-----------------|------------|------------|-----------------|
| | Southeast TN Developmental District | LW52F131IWRSP13 | 10/26/2012 | 9/30/2013 | \$100,000.00 |
| | Southeast TN Developmental District | LW52F132TWRSP13 | 12/15/2012 | 11/15/2013 | \$80,000.00 |
| | Southeast TN Developmental District | LW52P111NCNTV12 | 12/20/2012 | 12/31/2013 | \$27,083.00 |
| | Southeast TN Developmental District | LW52P112NCNTV12 | 2/1/2014 | 6/30/2014 | \$22,647.00 |
| | Southeast TN Developmental District | LW52P112ADSWA12 | 10/1/2013 | 12/31/2013 | \$150,000.00 |
| | Southeast TN Developmental District | LW05P121ADULT13 | 7/1/2012 | 6/30/2014 | \$101,970.00 |
| | Southeast TN Developmental District | LW05P121DSLWK13 | 7/1/2012 | 6/30/2014 | \$135,408.00 |
| | Southeast TN Developmental District | LW05P121YOUTH13 | 4/1/2012 | 6/30/2014 | \$1,361,125.00 |
| | Southeast TN Developmental District | LW52P121NCNTV13 | 3/17/2014 | 6/30/2015 | \$15,673.00 |
| | Southeast TN Developmental District | LW05F141ADULT14 | 10/1/2013 | 6/30/2015 | \$1,268,330.00 |
| | Southeast TN Developmental District | LW05F141DSLWK14 | 10/1/2013 | 6/30/2015 | \$1,666,640.00 |
| | Southeast TN Developmental District | LW05P131YOUTH14 | 4/1/2013 | 6/30/2015 | \$1,342,444.00 |
| | Southeast TN Developmental District | LW05P131ADULT14 | 7/1/2013 | 6/30/2015 | \$33,608.00 |
| | Southeast TN Developmental District | LW05P131DSLWK14 | 7/1/2013 | 6/30/2015 | \$177,086.00 |
| | Southeast TN Developmental District | LW52P131IWRSP14 | 1/3/2014 | 12/31/2014 | \$48,850.00 |
| | Southeast TN Developmental District | LW05P141ADULT15 | 7/1/2014 | 6/30/2016 | \$98,489.00 |
| | Southeast TN Developmental District | LW05P141DSLWK15 | 7/1/2014 | 6/30/2016 | \$198,735.00 |
| | Southeast TN Developmental District | LW05P141YOUTH15 | 4/1/2014 | 6/30/2016 | \$1,436,176.00 |
| | | | | | \$10,486,396.00 |
| LWIA 06 | Workforce Solutions | LW43F121IWRSP12 | 10/26/2012 | 9/30/2013 | \$38,500.00 |
| | Workforce Solutions | LW43F122DWRSP12 | 5/15/2013 | 6/30/2014 | \$498,895.00 |
| | Workforce Solutions | LW06F131ADULT13 | 10/1/2012 | 6/30/2014 | \$540,276.00 |
| | Workforce Solutions | LW06F131DSLWK13 | 10/1/2012 | 6/30/2014 | \$295,123.00 |
| | Workforce Solutions | LW43F131TWRSP13 | 12/15/2012 | 11/15/2013 | \$81,201.00 |
| | Workforce Solutions | LW43F132IWRSP13 | 1/3/2014 | 12/31/2014 | \$25,000.00 |
| | Workforce Solutions | LW43P111NCNTV12 | 1/2/2013 | 12/31/2013 | \$90,417.00 |
| | Workforce Solutions | LW43P112IWRSP12 | 10/26/2012 | 9/30/2013 | \$21,500.00 |
| | Workforce Solutions | LW43P112NCNTV12 | 2/1/2014 | 6/30/2014 | \$24,337.00 |
| | Workforce Solutions | LW06P121YOUTH13 | 4/1/2012 | 6/30/2014 | \$569,546.00 |
| | Workforce Solutions | LW43P121NCNTV13 | 3/17/2014 | 6/30/2015 | \$15,673.00 |
| | Workforce Solutions | LW06P121ADULT13 | 7/1/2012 | 6/30/2014 | \$44,626.00 |
| | Workforce Solutions | LW06P121DSLWK13 | 7/1/2012 | 6/30/2014 | \$50,841.00 |
| | Workforce Solutions | LW06F141ADULT14 | 10/1/2013 | 6/30/2015 | \$516,084.00 |

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| Workforce Solutions | LW06F141DSLWK14 | 10/1/2013 | 6/30/2015 | \$364,603.00 |
| Workforce Solutions | LW06P131YOUTH14 | 4/1/2013 | 6/30/2015 | \$509,070.00 |
| Workforce Solutions | LW06P131DSLWK14 | 7/1/2013 | 6/30/2015 | \$38,740.00 |
| Workforce Solutions | LW06P131ADULT14 | 7/1/2013 | 6/30/2015 | \$13,675.00 |
| Workforce Solutions | LW06P141ADULT15 | 7/1/2014 | 6/30/2016 | \$37,831.00 |
| Workforce Solutions | LW06P141DSLWK15 | 7/1/2014 | 6/30/2016 | \$67,511.00 |
| Workforce Solutions | LW06P141YOUTH15 | 4/1/2014 | 6/30/2016 | \$512,699.00 |
| Total | | | | \$4,356,148.00 |

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|---------|----------------------|-----------------|------------|------------|----------------|
| LWIA 07 | Upper Cumberland HRA | LW40F123DWRSP12 | 5/15/2013 | 6/30/2014 | \$111,482.00 |
| | Upper Cumberland HRA | LW07F131ADULT13 | 10/1/2012 | 6/30/2014 | \$592,653.00 |
| | Upper Cumberland HRA | LW07F131DSLWK13 | 10/1/2012 | 6/30/2014 | \$440,866.00 |
| | Upper Cumberland HRA | LW40F131IWRSP13 | 10/26/2012 | 9/30/2013 | \$60,000.00 |
| | Upper Cumberland HRA | LW40F132TWRSP13 | 12/15/2012 | 11/15/2013 | \$50,000.00 |
| | Upper Cumberland HRA | LW40P111NCNTV12 | 1/2/2013 | 12/31/2013 | \$27,083.00 |
| | Upper Cumberland HRA | LW40P112NCNTV12 | 2/1/2014 | 6/30/2014 | \$16,901.00 |
| | Upper Cumberland HRA | LW07P121DSLWK13 | 7/1/2012 | 6/30/2014 | \$75,948.00 |
| | Upper Cumberland HRA | LW07P121YOUTH13 | 4/1/2012 | 6/30/2014 | \$619,751.00 |
| | Upper Cumberland HRA | LW40P121NCNTV13 | 3/17/2014 | 6/30/2015 | \$15,673.00 |
| | Upper Cumberland HRA | LW07P121ADULT13 | 7/1/2015 | 6/30/2014 | \$48,953.00 |
| | Upper Cumberland HRA | LW07F141ADULT14 | 10/1/2013 | 6/30/2015 | \$583,233.00 |
| | Upper Cumberland HRA | LW07F141DSLWK14 | 10/1/2013 | 6/30/2015 | \$421,172.00 |
| | Upper Cumberland HRA | LW07P131YOUTH14 | 4/1/2013 | 6/30/2015 | \$579,889.00 |
| | Upper Cumberland HRA | LW07P131DSLWK14 | 7/1/2013 | 6/30/2015 | \$44,751.00 |
| | Upper Cumberland HRA | LW07P131ADULT14 | 7/1/2013 | 6/30/2015 | \$15,455.00 |
| | Upper Cumberland HRA | LW07P141ADULT15 | 7/1/2014 | 6/30/2016 | \$45,208.00 |
| | Upper Cumberland HRA | LW07P141DSLWK15 | 7/1/2014 | 6/30/2016 | \$45,208.00 |
| | Upper Cumberland HRA | LW07P141YOUTH15 | 4/1/2014 | 6/30/2016 | \$619,817.00 |
| Total | | | | | \$4,414,043.00 |

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| LWIA 08 | Workforce Essentials, Inc | LW48F111ADDEI11 | 10/1/2011 | 9/30/2014 | \$480,000.00 |
| | Workforce Essentials, Inc | LW48F122DWRSP12 | 5/15/2013 | 6/30/2014 | \$324,750.00 |
| | Workforce Essentials, Inc | LW08F131ADULT13 | 10/1/2012 | 6/30/2014 | \$1,114,735.00 |
| | Workforce Essentials, Inc | LW08F131DSLWK13 | 10/1/2012 | 6/30/2014 | \$1,138,876.00 |

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| Workforce Essentials, Inc | LW48F131IWRSP13 | 10/26/2012 | 9/30/2013 | \$99,422.16 |
| Workforce Essentials, Inc | LW48F132TWRSP13 | 12/15/2012 | 11/15/2013 | \$72,200.00 |
| Workforce Essentials, Inc | LW48P111NCNTV12 | 1/2/2013 | 12/31/2013 | \$80,417.00 |
| Workforce Essentials, Inc | LW48P112NCNTV12 | 2/1/2014 | 6/30/2014 | \$34,646.00 |
| Workforce Essentials, Inc | LW08P121ADULT13 | 7/1/2012 | 6/30/2014 | \$92,076.00 |
| Workforce Essentials, Inc | LW08P121DSLWK13 | 7/1/2012 | 6/30/2014 | \$196,193.00 |
| Workforce Essentials, Inc | LW08P121YOUTH13 | 4/1/2012 | 6/30/2014 | \$1,252,658.00 |
| Workforce Essentials, Inc | LW48P121NCNTV13 | 3/17/2014 | 6/30/2015 | \$68,173.00 |
| Workforce Essentials, Inc | LW08P121AENCNTV | 10/1/2013 | 6/30/2015 | \$43,123.81 |
| Workforce Essentials, Inc | LW08F141ADULT14 | 10/1/2013 | 6/30/2015 | \$1,149,376.00 |
| Workforce Essentials, Inc | LW08F141DSLWK14 | 10/1/2013 | 6/30/2015 | \$1,008,459.00 |
| Workforce Essentials, Inc | LW48F141IWRSP14 | 1/3/2014 | 12/31/2014 | \$126,634.00 |
| Workforce Essentials, Inc | LW48F141JCSWA14 | 5/1/2014 | 6/30/2016 | \$100,000.00 |
| Workforce Essentials, Inc | LW08P131YOUTH14 | 4/1/2013 | 6/30/2015 | \$1,187,987.00 |
| Workforce Essentials, Inc | LW08P131ADULT14 | 7/1/2013 | 6/30/2015 | \$30,456.00 |
| Workforce Essentials, Inc | LW08P131DSLWK14 | 7/1/2013 | 6/30/2015 | \$107,152.00 |
| Workforce Essentials, Inc | LW08P141ADULT15 | 7/1/2014 | 6/30/2016 | \$83,656.00 |
| Workforce Essentials, Inc | LW08P141DSLWK15 | 7/1/2014 | 6/30/2016 | \$179,621.00 |
| Workforce Essentials, Inc | LW08P141YOUTH15 | 4/1/2014 | 6/30/2016 | \$1,190,335.00 |
| | | | | \$10,160,945.97 |

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|----------------|-------------------------------------|-----------------|------------|------------|----------------|
| LWIA 09 | Nashville Career Advancement Center | LW09F122DWRSP12 | 5/15/2013 | 6/30/2014 | \$429,582.00 |
| | Nashville Career Advancement Center | LW09F131ADULT13 | 10/1/2012 | 6/30/2014 | \$1,903,054.00 |
| | Nashville Career Advancement Center | LW09F131DSLWK13 | 10/1/2012 | 6/30/2014 | \$1,829,917.00 |
| | Nashville Career Advancement Center | LW09F131IWRSP13 | 10/26/2012 | 9/30/2013 | \$100,000.00 |
| | Nashville Career Advancement Center | LW09F132TWRSP13 | 12/15/2012 | 11/15/2013 | \$55,000.00 |
| | Nashville Career Advancement Center | LW09P111NCNTV12 | 1/2/2013 | 12/31/2013 | \$27,083.00 |
| | Nashville Career Advancement Center | LW09P112NCNTV12 | 2/1/2014 | 6/30/2014 | \$41,744.00 |
| | Nashville Career Advancement Center | LW09P121ADULT13 | 7/1/2012 | 6/30/2014 | \$157,191.00 |
| | Nashville Career Advancement Center | LW09P121DSLWK13 | 7/1/2012 | 6/30/2014 | \$315,238.00 |
| | Nashville Career Advancement Center | LW09P121YOUTH13 | 4/1/2012 | 6/30/2014 | \$2,038,772.00 |
| | Nashville Career Advancement Center | LW09P121NCNTV13 | 3/17/2014 | 6/30/2015 | \$68,173.00 |
| | Nashville Career Advancement Center | LW09F141ADULT14 | 10/1/2013 | 6/30/2015 | \$1,845,287.00 |
| | Nashville Career Advancement Center | LW09F141DSLWK14 | 10/1/2013 | 6/30/2015 | \$2,161,685.00 |

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| Nashville Career Advancement Center | LW09F141IWRSP14 | 1/3/2014 | 12/31/2014 | \$63,000.00 |
| Nashville Career Advancement Center | LW09P131YOUTH14 | 4/1/2013 | 6/30/2015 | \$2,054,161.00 |
| Nashville Career Advancement Center | LW09P131ADULT14 | 7/1/2013 | 6/30/2015 | \$48,896.00 |
| Nashville Career Advancement Center | LW09P131DSLWK14 | 7/1/2013 | 6/30/2015 | \$229,686.00 |
| Nashville Career Advancement Center | LW09P141ADULT15 | 7/1/2014 | 6/30/2016 | \$131,330.00 |
| Nashville Career Advancement Center | LW09P141DSLWK15 | 7/1/2014 | 6/30/2016 | \$287,877.00 |
| Nashville Career Advancement Center | LW09P141YOUTH15 | 4/1/2014 | 6/30/2016 | \$2,022,571.00 |
| | | | | \$15,810,247.00 |
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| South Central TN Workforce Alliance | LW53F122JCRSP12 | 7/15/2012 | 6/30/2014 | \$55,000.00 |
| South Central TN Workforce Alliance | LW53F124DWRSP12 | 5/15/2013 | 6/30/2014 | \$449,525.00 |
| South Central TN Workforce Alliance | LW53F123JCRSP12 | 2/11/2013 | 6/30/2014 | \$65,000.00 |
| South Central TN Workforce Alliance | LW53F125IWRSP12 | 1/3/2014 | 6/30/2014 | \$20,500.00 |
| South Central TN Workforce Alliance | LW10F131ADULT13 | 10/1/2012 | 6/30/2014 | \$636,777.00 |
| South Central TN Workforce Alliance | LW10F131DSLWK13 | 10/1/2012 | 6/30/2014 | \$502,354.00 |
| South Central TN Workforce Alliance | LW53F131IWRSP13 | 10/26/2012 | 9/30/2013 | \$75,000.00 |
| South Central TN Workforce Alliance | LW53F132TWRSP13 | 12/15/2012 | 11/15/2013 | \$75,000.00 |
| South Central TN Workforce Alliance | LW53P111ADDEI12 | 10/1/2011 | 9/30/2014 | \$479,270.00 |
| South Central TN Workforce Alliance | LW53P111NCNTV12 | 1/20/2013 | 12/31/2013 | \$14,583.00 |
| South Central TN Workforce Alliance | LW53P112NCNTV12 | 2/1/2014 | 6/30/2014 | \$26,370.00 |
| South Central TN Workforce Alliance | LW53P112ADSWA12 | 10/1/2013 | 12/31/2013 | \$140,000.00 |
| South Central TN Workforce Alliance | LW10P121ADULT13 | 7/1/2012 | 6/30/2014 | \$52,597.00 |
| South Central TN Workforce Alliance | LW10P121DSLWK13 | 7/1/2012 | 6/30/2014 | \$86,540.00 |
| South Central TN Workforce Alliance | LW10P121YOUTH13 | 4/1/2012 | 6/30/2014 | \$710,079.00 |
| South Central TN Workforce Alliance | LW10P121AENCNTV | 10/1/2013 | 6/30/2015 | \$43,123.81 |
| South Central TN Workforce Alliance | LW53P121IWRSP13 | 1/3/2014 | 12/31/2014 | \$26,661.00 |
| South Central TN Workforce Alliance | LW53P121NCNTV13 | 3/17/2014 | 6/30/2015 | \$15,673.00 |
| South Central TN Workforce Alliance | LW10F141ADULT14 | 10/1/2013 | 6/30/2015 | \$611,535.00 |
| South Central TN Workforce Alliance | LW10F141DSLWK14 | 10/1/2013 | 6/30/2015 | \$504,567.00 |
| South Central TN Workforce Alliance | LW10P131YOUTH14 | 4/1/2013 | 6/30/2015 | \$634,771.00 |
| South Central TN Workforce Alliance | LW10P131ADULT14 | 7/1/2013 | 6/30/2015 | \$16,205.00 |
| South Central TN Workforce Alliance | LW10P131DSLWK14 | 7/1/2013 | 6/30/2015 | \$53,612.00 |
| South Central TN Workforce Alliance | LW10P141ADULT15 | 7/1/2014 | 6/30/2016 | \$45,666.00 |
| South Central TN Workforce Alliance | LW10P141DSLWK15 | 7/1/2014 | 6/30/2016 | \$79,190.00 |

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| | South Central TN Workforce Alliance | LW10P141YOUTH15 | 4/1/2014 | 6/30/2016 | \$652,920.00 |
| | | | | | \$6,072,518.81 |
| LWIA 11 | Southwest Human Resource Agency | LW45F122DWRSP12 | 5/15/2013 | 6/30/2014 | \$40,983.00 |
| | Southwest Human Resource Agency | LW11F131ADULT13 | 10/1/2012 | 6/30/2014 | \$656,877.00 |
| | Southwest Human Resource Agency | LW11F131DSLWK13 | 10/1/2012 | 6/30/2014 | \$569,915.00 |
| | Southwest Human Resource Agency | LW45F131IWRSP13 | 10/26/2012 | 9/30/2013 | \$100,000.00 |
| | Southwest Human Resource Agency | LW45F132TWRSP13 | 12/15/2012 | 11/15/2013 | \$74,910.00 |
| | Southwest Human Resource Agency | LW45P112NCNTV12 | 1/2/2013 | 12/31/2013 | \$12,500.00 |
| | Southwest Human Resource Agency | LW45P113NCNTV12 | 2/1/2014 | 6/30/2014 | \$19,605.00 |
| | Southwest Human Resource Agency | LW11P121ADULT13 | 7/1/2012 | 6/30/2014 | \$54,258.00 |
| | Southwest Human Resource Agency | LW11P121DSLWK13 | 7/1/2012 | 6/30/2014 | \$98,179.00 |
| | Southwest Human Resource Agency | LW11P121YOUTH13 | 4/1/2012 | 6/30/2014 | \$752,772.00 |
| | Southwest Human Resource Agency | LW45P121NCNTV13 | 3/17/2014 | 6/30/2015 | \$15,673.00 |
| | Southwest Human Resource Agency | LW11F141ADULT14 | 10/1/2013 | 6/30/2015 | \$655,030.00 |
| | Southwest Human Resource Agency | LW11F141DSLWK14 | 10/1/2013 | 6/30/2015 | \$466,408.00 |
| | Southwest Human Resource Agency | LW11P131YOUTH14 | 4/1/2013 | 6/30/2015 | \$657,325.00 |
| | Southwest Human Resource Agency | LW11P131DSLWK14 | 7/1/2013 | 6/30/2015 | \$49,557.00 |
| | Southwest Human Resource Agency | LW11P131ADULT14 | 7/1/2013 | 6/30/2015 | \$17,357.00 |
| | Southwest Human Resource Agency | LW11P141ADULT15 | 7/1/2014 | 6/30/2016 | \$51,360.00 |
| | Southwest Human Resource Agency | LW11P141DSLWK15 | 7/1/2014 | 6/30/2016 | \$99,294.00 |
| | Southwest Human Resource Agency | LW11P141YOUTH15 | 4/1/2014 | 6/30/2016 | \$653,359.32 |
| LWIA 12 | Dyersburg State Community College | LW50F121DWNEG12 | 10/1/2011 | 3/31/2014 | \$2,737,800.00 |
| | Dyersburg State Community College | LW50F122IWRSP12 | 2/6/2013 | 9/30/2013 | \$25,000.00 |
| | Dyersburg State Community College | LW50F123DWRSP12 | 5/15/2013 | 6/30/2014 | \$427,174.00 |
| | Dyersburg State Community College | LW12F131ADULT13 | 10/1/2012 | 6/30/2014 | \$898,853.00 |
| | Dyersburg State Community College | LW12F131DSLWK13 | 10/1/2012 | 6/30/2014 | \$1,586,103.00 |
| | Dyersburg State Community College | LW50F131IWRSP13 | 10/10/2012 | 9/30/2013 | \$75,000.00 |
| | Dyersburg State Community College | LW50F132IWRSP13 | 12/15/2012 | 11/15/2013 | \$188,000.00 |
| | Dyersburg State Community College | LW50P111NCNTV12 | 1/2/2013 | 12/31/2013 | \$85,416.00 |
| | Dyersburg State Community College | LW50P112NCNTV12 | 2/1/2014 | 6/30/2014 | \$17,746.00 |
| | Dyersburg State Community College | LW12P121ADULT13 | 7/1/2012 | 6/30/2014 | \$74,245.00 |

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| Dyersburg State Community College | LW12P121DSLWK13 | 7/1/2012 | 6/30/2014 | \$273,237.00 |
| Dyersburg State Community College | LW12P121YOUTH13 | 4/1/2012 | 6/30/2014 | \$1,016,921.00 |
| Dyersburg State Community College | LW50P121FTRSP13 | 1/1/2014 | 12/31/2014 | \$73,536.00 |
| Dyersburg State Community College | LW50P122JCRSP13 | 1/1/2014 | 12/31/2014 | \$92,288.00 |
| Dyersburg State Community College | LW50P123JCRSP13 | 4/15/2014 | 6/30/2015 | \$60,000.00 |
| Dyersburg State Community College | LW50P121NCNTV13 | 3/17/2014 | 6/30/2015 | \$15,673.00 |
| Dyersburg State Community College | LW12F141ADULT14 | 10/1/2013 | 6/30/2015 | \$987,903.00 |
| Dyersburg State Community College | LW12F141DSLWK14 | 10/1/2013 | 6/30/2015 | \$1,302,746.00 |
| Dyersburg State Community College | LW50F141IWRSP14 | 1/3/2014 | 12/31/2014 | \$97,549.00 |
| Dyersburg State Community College | LW12P131YOUTH14 | 4/1/2013 | 6/30/2015 | \$1,005,470.00 |
| Dyersburg State Community College | LW12P131ADULT14 | 7/1/2013 | 6/30/2015 | \$26,178.00 |
| Dyersburg State Community College | LW12P131DSLWK14 | 7/1/2013 | 6/30/2015 | \$138,421.00 |
| Dyersburg State Community College | LW12P141ADULT15 | 7/1/2014 | 6/30/2016 | \$78,698.00 |
| Dyersburg State Community College | LW12P141DSLWK15 | 7/1/2014 | 6/30/2016 | \$148,465.00 |
| Dyersburg State Community College | LW12P141YOUTH15 | 4/1/2014 | 6/30/2016 | \$1,105,122.00 |
| | | | | \$12,537,544.00 |

LWIA 13

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|-----------------------|-----------------|------------|------------|----------------|
| City of Memphis (WIN) | LW13F122DWRSP12 | 5/15/2013 | 6/30/2014 | \$248,168.00 |
| City of Memphis (WIN) | LW13F131ADULT13 | 10/1/2012 | 6/30/2014 | \$2,202,300.00 |
| City of Memphis (WIN) | LW13F131DSLWK13 | 10/1/2012 | 6/30/2014 | \$2,357,830.00 |
| City of Memphis (WIN) | LW13F131IWRSP13 | 10/26/2012 | 9/30/2013 | \$90,000.00 |
| City of Memphis (WIN) | LW13F133IWRSP13 | 1/3/2014 | 12/31/2014 | \$60,550.00 |
| City of Memphis (WIN) | LW13F132TWRSP13 | 12/15/2012 | 11/15/2013 | \$97,738.00 |
| City of Memphis (WIN) | LW13P111ADDEI12 | 10/1/2011 | 9/30/2014 | \$425,000.00 |
| City of Memphis (WIN) | LW13P112NCNTV12 | 2/1/2014 | 6/30/2014 | \$46,476.00 |
| City of Memphis (WIN) | LW13P111NCNTV12 | 1/2/2013 | 12/31/2013 | \$27,083.00 |
| City of Memphis (WIN) | LW13P121ADULT13 | 7/1/2012 | 6/30/2014 | \$181,908.00 |
| City of Memphis (WIN) | LW13P121DSLWK13 | 7/1/2012 | 6/30/2014 | \$406,181.00 |
| City of Memphis (WIN) | LW13P121YOUTH13 | 4/1/2012 | 6/30/2014 | \$2,686,989.00 |
| City of Memphis (WIN) | LW13P121NCNTV13 | 3/17/2014 | 6/30/2015 | \$6,923.00 |
| City of Memphis (WIN) | LW13F141ADULT14 | 10/1/2013 | 6/30/2015 | \$2,325,325.00 |
| City of Memphis (WIN) | LW13F141DSLWK14 | 10/1/2013 | 6/30/2015 | \$1,681,945.00 |
| City of Memphis (WIN) | LW13P131YOUTH14 | 4/1/2013 | 6/30/2015 | \$2,586,254.00 |
| City of Memphis (WIN) | LW13P131ADULT14 | 7/1/2013 | 6/30/2015 | \$61,616.00 |

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| City of Memphis (WIN) | LW13P131DSLWK14 | 7/1/2013 | 6/30/2015 | \$178,711.00 |
| City of Memphis (WIN) | LW13P141ADULT15 | 7/1/2014 | 6/30/2016 | \$181,879.00 |
| City of Memphis (WIN) | LW13P141DSLWK15 | 7/1/2014 | 6/30/2016 | \$430,456.00 |
| City of Memphis (WIN) | LW13P141YOUTH15 | 4/1/2014 | 6/30/2016 | \$2,783,767.00 |
| | | | | \$19,067,099.00 |

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| Miscellaneous | | | | |
| Shelby Co Shelby Co Schools | LW13P111AENCNTV | 10/1/2013 | 6/30/2014 | \$199,475.00 |
| Southwest Southwest TN Developmental District | LW72P111NCNTV12 | 2/1/2014 | 6/30/2014 | \$62,500.00 |
| | LW72P121NCNTV13 | 4/15/2014 | 6/30/2014 | \$60,000.00 |
| Tennessee Tennessee AFL-CIO | LW17F131DWRSP13 | 6/30/2013 | 6/30/2014 | \$150,000.00 |
| | LW17F141DWRSP14 | 7/1/2014 | 6/30/2015 | \$100,000.00 |
| University University of Memphis | LW18P111ADDEI12 | 10/1/2011 | 9/30/2014 | \$145,399.00 |
| | LW18P131ADSWA14 | 7/1/2013 | 6/30/2014 | \$424,466.00 |
| Chattanooga Chattanooga St Community College | LW05P111AENCNTV | 10/1/2013 | 6/30/2014 | \$4,093.48 |
| Hope works Hope works, Inc. | LW01P111AENCNTV | 10/1/2013 | 6/30/2014 | \$6,787.00 |
| | LW01P121AENCNTV | 10/1/2013 | 6/30/2015 | \$43,123.81 |
| Knox Co S Knox Co Schools | LW03P111AENCNTV | 10/1/2013 | 6/30/2014 | \$81,213.00 |
| Grand Total | | | | \$119,830,351.27 |

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| Workforce Investment Act of 1998, Risk Assessment of LWIAs | | | | | | | | | | | | | | |
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| Name of Organization: Tennessee Department of Labor and Workforce Development report date 9/30/2014 | | | | | | | | | | | | | | |
| Exhibit 7 | | | | | | | | | | | | | | |
| LOCAL WORKFORCE INVESTMENT AREAS | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 |
| | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |
| Risk Categories | VALUES | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |
| 1. FEDERAL FUNDS EXPENDED DURING A FISCAL YEAR: | | | | | | | | | | | | | | |
| < \$25,000 | 1 | | | | | | | | | | | | | |
| > \$25,000 AND < \$100,000 | 2 | | | | | | | | | | | | | |
| > \$100,000 AND <\$200,000 | 3 | | | | | | | | | | | | | |
| > \$200,000 AND <\$300,000 | 4 | | | | | | | | | | | | | |
| > \$300,000 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 |
| | | | | | | | | | | | | | | |
| 2.PERCENT EXPENDED OF FEDERAL GRANTS: | | | | | | | | | | | | | | |
| < 80% | 1 | | | | | | | | | | | | | |
| <60% | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 |
| < 50% | 3 | | | | | | | | | | | | | |
| < 30% | 4 | | | | | | | | | | | | | |
| < 10% | 5 | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |
| 3. MONITORING JUDGEMENT RISK: | | | | | | | | | | | | | | |
| Little concern; review on request or monitor's discretion ** | 1 | | | | | | | | | | | | | |
| Low concern; review every 5 years | 2 | | | | | | | | | | | | | |
| Moderate concern; review every 3-4 years | 3 | | | | | | | | | | | | | |
| Fairly high concern; review every 2 years | 4 | | | | | | | | | | | | | |
| High audit concern; review annually | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 |
| | | | | | | | | | | | | | | |
| 4. INTERNAL CONTROL: | | | | | | | | | | | | | | |
| Average | 1 | | | 1 | | | | | | | 1 | | 1 | |
| Minor weaknesses | 2 | 2 | 2 | | 2 | 2 | 2 | 2 | 2 | 2 | | | | |
| Some significant weaknesses | 3 | | | | | | | | | | | 3 | | 3 |
| Many significant weaknesses or no audit | 4 | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |
| SUB-TOTAL | | 14 | 14 | 13 | 14 | 14 | 14 | 14 | 14 | 14 | 13 | 15 | 13 | 15 |
| | | | | | | | | | | | | | | |

| | | | | | | | | | | | | | | |
|---|--------|----|----|----|----|----|----|----|----|----|----|----|----|----|
| Name of Organization: Tennessee Department of Labor and Workforce Development | | | | | | | | | | | | | | |
| LOCAL WORKFORCE INVESTMENT AREAS | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 |
| | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |
| Risk Categories | VALUES | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |
| 5. RESULTS OF PRIOR MONITORING AND OTHER SITE VISITS: | | | | | | | | | | | | | | |
| No significant findings | 1 | | | | | | | 1 | | 1 | 1 | | 1 | |
| Some minor findings | 2 | 2 | | 2 | 2 | | 2 | | 2 | | | | | |
| Moderate findings or no prior audit | 3 | | 3 | | | 3 | | | | | | 3 | | 3 |
| Some significant findings | 4 | | | | | | | | | | | | | |
| Many significant findings | 5 | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |
| 6. NUMBER OF PROGRAMS FOR PERIOD BEING MONITORED: | | | | | | | | | | | | | | |
| Single | 1 | | | | | | | | | | | | | |
| 2-4 | 2 | | | | | | | | | | | | | |
| -5- | 3 | | | | | | | | | | | | | |
| 6-7 | 4 | 4 | 4 | 4 | 4 | 4 | 4 | 4 | 4 | 4 | 4 | 4 | 4 | 4 |
| 8 and over | 5 | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |
| 7. FINANCIAL/BUDGET IMPACT: | | | | | | | | | | | | | | |
| Very little or no impact | 1 | | | | | | | | | | | | | |
| Little impact | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 |
| Moderate impact | 3 | | | | | | | | | | | | | |
| High impact | 4 | | | | | | | | | | | | | |
| Very high impact | 5 | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |
| 8. SIZE OF STAFF FOR PERIOD BEING MONITORED: | | | | | | | | | | | | | | |
| Very Small (1-4) | 1 | | | | | | | | | | | | | |
| Small (5-8) | 2 | | | | | | | | | | | | | |
| Moderate (8-10) | 3 | | 3 | 3 | 3 | 3 | 3 | | | | | 3 | | 3 |
| Large (11-15) | 4 | 4 | | | | | | 4 | 4 | 4 | 4 | | 4 | |
| Very large (15 and over) | 5 | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |
| 9. MANAGEMENT INPUT/CONCERN: | | | | | | | | | | | | | | |
| Very little | 1 | | | | | | | | | | | | | |
| Some | 2 | 2 | | | | | 2 | 2 | 2 | 2 | 2 | | 2 | |
| Moderate | 3 | | 3 | 3 | 3 | 3 | | | | | | | | |
| Much | 4 | | | | | | | | | | | 4 | | 4 |
| High | 5 | | | | | | | | | | | | | |
| SUB-TOTAL | | 14 | 15 | 14 | 14 | 15 | 13 | 13 | 14 | 13 | 13 | 16 | 13 | 16 |

| | | | | | | | | | | | | | | |
|---|--------|---|---|---|---|---|---|---|---|---|----|----|----|----|
| Name of Organization: Tennessee Department of Labor and Workforce Development | | | | | | | | | | | | | | |
| LOCAL WORKFORCE INVESTMENT AREAS | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 |
| | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |
| Risk Categories | VALUES | | | | | | | | | | | | | |
| The TDLWD has received a waiver for this category for PY 13-14 | | | | | | | | | | | | | | |
| 10. RESULTS OF COLLATERAL CONTACTS, CUSTOMER SURVEYS, ETC.: | | | | | | | | | | | | | | |
| Zero or small indication of risk | 1 | | | | | | | 1 | 1 | 1 | 1 | | 1 | |
| Some indication of risk | 2 | 2 | | | | 2 | 2 | | | | | | | |
| Moderate indication of risk | 3 | | 3 | 3 | 3 | | | | | | | | | |
| Large indication of risk | 4 | | | | | | | | | | | 4 | | 4 |
| Very large indication of risk | 5 | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |
| 11. BOARD OF DIRECTORS INVOLVEMENT: | | | | | | | | | | | | | | |
| Very active board (provides appropriate oversight) | 1 | | | | | | | | | | | | | |
| Active board (takes interest in financial matters review reports) | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 |
| Moderately effective | 3 | | | | | | | | | | | | | |
| Not very effective (Not sufficiently independent of management) | 4 | | | | | | | | | | | | | |
| Inactive board (does not meet regularly) | 5 | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |
| 12. EXPERIENCE WITH STATE/GOVERNMENT CONTRACTS: | | | | | | | | | | | | | | |
| Over 10 years experience | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 |
| Five to ten years experience | 2 | | | | | | | | | | | | | |
| Two to five years experience | 3 | | | | | | | | | | | | | |
| Less than two years experience | 4 | | | | | | | | | | | | | |
| Completely new | 5 | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |
| 13. CHANGES IN EQUIPMENT SYSTEMS & STAFF SINCE LAST REVIEW: | | | | | | | | | | | | | | |
| No changes | 1 | 1 | 1 | 1 | 1 | 1 | 1 | | 1 | 1 | 1 | 1 | 1 | |
| Moderate changes--low turnover | 2 | | | | | | | 2 | | | | | | 2 |
| Equipment changes--low turnover | 3 | | | | | | | | | | | | | |
| High turnover | 4 | | | | | | | | | | | | | |
| High turnover & equipment systems change | 5 | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |

| | | | | | | | | | | | | | | | |
|---|---|----------|-----|-----|-----|-----|-----|-----|----------|----------|----------|----------|-----|--------|---|
| 14. EXPOSURE TO LOSS: | | | | | | | | | | | | | | | |
| None | 1 | | | | | | | | | | | | | | |
| Physical assets | 2 | | | | | | | | | | | | | | |
| Readily negotiable | 3 | | | | | | | | | | | | | | |
| Cash | 4 | | | | | | | | | | | | | | |
| Confidential data | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 |
| SUB-TOTAL | | 11 | 12 | 12 | 12 | 11 | 11 | 11 | 10 | 10 | 10 | 13 | 10 | 14 | |
| GRAND TOTAL RISK SCORE | | 39 | 41 | 39 | 40 | 40 | 38 | 38 | 38 | 37 | 36 | 44 | 36 | 45 | |
| ** SEC 184 (a) 4 Monitoring : Each Governor of the state shall conduct on an Annual basis on site monitoring of each Local Area within the state of local government | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | |
| Summary of Risk Assessment | | | | | | | | | | | | | | | |
| LOCAL WORKFORCE INVESTMENT AREAS | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | |
| | | Very Low | Low | Low | Low | Low | Low | Low | Very Low | Very Low | Very Low | Moderate | Low | Medium | |
| Notes: Assumptions/Ratioanle: | | | | | | | | | | | | | | | |
| 1. Federal Funds Expended during a fiscal year | | | | | | | | | | | | | | | |
| All LWIAs will bear the maximum risk for the federal funds expended (>\$300,000) | | | | | | | | | | | | | | | |
| 2. Percent Expended of Federal Grants | | | | | | | | | | | | | | | |
| All LWIAs will expend greater than 50% grants | | | | | | | | | | | | | | | |
| 3. Monitoring judgement risk | | | | | | | | | | | | | | | |
| Under SEC 184 (a) 4 Monitoring: Each Governor of the state shall conduct on an Annual basis on site monitoring of each Local Area within the state or local government. | | | | | | | | | | | | | | | |
| This monitoring judgement risk is weighted uniformly across all LWIAs; with emphasis on the note above. | | | | | | | | | | | | | | | |
| 4. Internal Control | | | | | | | | | | | | | | | |
| Uniform Average Control weight applied because of controls in practice. | | | | | | | | | | | | | | | |
| 5. Results of prior monitoring and other site visits | | | | | | | | | | | | | | | |
| Self explanatory | | | | | | | | | | | | | | | |
| 6. Number of Programs for period being monitored | | | | | | | | | | | | | | | |
| This indicates the range number of the main programs being monitored | | | | | | | | | | | | | | | |
| 7. Financial Budget Impact | | | | | | | | | | | | | | | |
| The Financial Budget Impact falls into very Little (or no impact) and Little impact categories; with "fall back"local government funds as secondary to WIA funds | | | | | | | | | | | | | | | |
| 8. Size of Staff for period being monitored | | | | | | | | | | | | | | | |
| The underlying assumption is that Small to Moderate staff will suffice under normal circumstances. | | | | | | | | | | | | | | | |
| 9. Management Input/Concern | | | | | | | | | | | | | | | |
| Self explanatory | | | | | | | | | | | | | | | |
| 10. Results of collateral contacts, customer surveys, etc | | | | | | | | | | | | | | | |
| Zero or small indication of risk to some indication of risk | | | | | | | | | | | | | | | |
| 11. Board of Directors Involvement | | | | | | | | | | | | | | | |
| Self explanatory | | | | | | | | | | | | | | | |
| 12. Experience with State/Government Contracts | | | | | | | | | | | | | | | |
| All LWIAs weighted uniformly | | | | | | | | | | | | | | | |
| 13. Changes in Equipment Systems & Staff since last review | | | | | | | | | | | | | | | |
| Moderate changes - low turnover | | | | | | | | | | | | | | | |
| 14. Exposure to loss | | | | | | | | | | | | | | | |
| Participant confidential data custodianship and management bears maximum risk. | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | |

Corrective Action Plan Tracking Log

| Contractor | Date Mon. Report | Results of Monitoring Visits July 1, 2013 - September 30, 2014 |
|------------|---------------------|---|
| | Received | Bold (yellow fill)= unresolved |
| LWIA 1 | 8/22/2013 | Unallowable costs charged to WIA Grant questioned cost (\$297.50) |
| LWIA 1 | 8/21/2014 | No Finding Reported |
| LWIA 2 | 2/26/2014 | <ol style="list-style-type: none"> 1. Expenditures were charged outside contract period. 2. Program funds were not used efficiently. 3. Case management needs improvement. |
| LWIA 3 | 6/4/2014 | No Findings Reported |
| LWIA 4 | 7/2/2014 | Expenditures were charged to the contract prior to the contract period LWIA 4 failed follow the State Comprehensive Travel Regulations Procedures over equipment need improvement |
| LWIA 4 | 7/23/2013 | No Findings Reported |
| LWIA 5 | 1/28/2014 | <ol style="list-style-type: none"> 1. Youth case management needs improvement |
| LWIA 6 | 9/5/2013 | <ol style="list-style-type: none"> 1. OJT master contract did not contain two required clauses 2. Case management needs improvement |
| LWIA 6 | 6/30/2014 | <ol style="list-style-type: none"> 1. LWIA failed to follow the State Travel Regulations. Two employees were overpaid. One by over \$5 and another by \$8.25. 2. Case Management needs improvement. 3. adult participants were coded as active but were not contacted for over a year. |
| LWIA 7 | 1/28/2014 | <ol style="list-style-type: none"> 1. Youth expenditures were over reported to TDLWD |
| LWIA 8 | 7/12/2013 | No Findings Reported |
| LWIA 8 | 4/24/2014 | <ol style="list-style-type: none"> 1. Contract Management needs improvement. Questioned cost \$741.60 2. Expenditures over reported \$190.00 |
| LWIA 9 | 4/27/2013 | <ol style="list-style-type: none"> 1. Expense for personal cell phones were charged to the Grant. 2. Youth participants had improper activity. |
| LWIA 9 | | No Findings Reported |
| LWIA 10 | 12/16/2013 | <ol style="list-style-type: none"> 1. Did not appear to be providing adequate follow-up services for participants |

| | | |
|------------|------------|---|
| LWIA 11 | 7/12/2013 | 1. Unallowable expenses charged to grants (\$56.89 and \$43.20) 2. An agency vehicle used by employee for personal travel |
| LWIA 11 | 9/3/2014 | 1. Expenditures charged to the contract were not within period availability. Questioned Cost \$24,775.89 2. Vendor refunds were not used to reduce program costs. Questioned cost \$2,477.83 3. Unallowable costs were charged to grants. Questioned cost \$1,775.26 4. Reporting Procedures need improvement. Questioned cost of \$1,092.76 5. In kind match for the SCSEP was over reported. 6. Procedure for allocating program costs need improvement. |
| LWIA 12 | 11/14/2013 | No Findings Reported |
| LWIA 13 | 9/20/2013 | 1. Costs were incurred and reported prior to the beginning of the date of the contract period 2. Unallowable expenses were charged to grants 3. The appearance of a conflict of interested existed 4. Did not comply with the LWIA 13's By-Laws regarding term limits for Board members 5. Summer youth employment was utilized as a stand-alone activity 6. Case Management needs improvement |
| LWIA 13 | 9/22/2014 | 1. Reporting procedures need improvement. 2. Unallowable expenses were charged to grants. 3. LWIA 13 failed to comply with State Travel Regulations. 4. Discrepancies were noted in the participants payroll. 5. Procedures over property and equipment need improvement. 6. Case management needs improvement. |
| UOM | 5/12/2014 | No Findings Reported |
| AFLCIO | 7/17/2004 | No Findings Reported |
| Hope works | 7/17/2014 | No Findings Reported |
| | | |

| |
|-----------------------------|
| INITIAL Determination Phase |
|-----------------------------|

| Corrective Action Due Date LWIAs | Date of Local C.A.P. Response | Department State Response Date | Further 2nd review date LWIA | Department Final Acceptance Letter Date |
|----------------------------------|-------------------------------|--------------------------------|------------------------------|---|
| 9/21/2013 | 8/31/2013 | 9/20/2013 | No | 9/20/2013 |
| N/A | N/A | N/A | No | N/A |
| 3/26/2014 | 3/14/2014 | 3/20/2014 | No | 6/2/2014 |
| N/A | N/A | N/A | No | N/A |
| 7/2/2014 | 8/2/2014 | Pending | | |
| N/A | N/A | N/A | No | N/A |
| 2/27/2014 | 2/28/2014 | 3/11/2014 | No | 3/11/2014 |
| 10/4/2013 | 9/20/2013 | 10/18/2013 | No | 10/18/2013 |
| 6/11/2014 | 6/30/2014 | 8/25/2014 | No | 8/25/2014 |
| 2/27/2014 | 2/25/2014 | 3/11/2014 | No | 3/11/2014 |
| N/A | N/A | N/A | No | N/A |
| 5/24/2014 | 5/13/2014 | 5/30/2014 | Yes | 5/30/2014 |
| 5/23/2013 | 5/23/2013 | 9/3/2013 | Yes | 9/3/2013 |
| N/A | N/A | N/A | No | N/A |
| 1/2/2014 | 1/13/2014 | 3/11/2014 | | 3/11/2014 |

| | | | | |
|------------|------------|-----------|-----|-----------|
| 7/11/2013 | 8/9/2013 | 1/28/2014 | No | 1/28/2014 |
| | | | | |
| N/A | N/A | N/A | No | N/A |
| 10/19/2013 | 10/18/2013 | 11/7/2013 | Yes | 5/6/2014 |
| | | | | |
| | | | | |
| N/A | N/A | N/A | No | N/A |
| N/A | N/A | N/A | No | N/A |
| N/A | N/A | N/A | No | N/A |
| | | | | |

SCSEP Monitoring

Sub-recipient _____

Reviewer _____ Date of review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____

Date: _____

Program Questionnaire SCSEP

| Question | | YES | NO | N/A | Parameters |
|----------|---|-----|----|-----|---|
| 1. | Is the Sub-Grantee familiar with the WIA requirements? | | | | SCSEP is a required partner under WIA and is part of the One-Stop Delivery System and required to follow all applicable rules under WIA and its regulations |
| 2. | Does a MOU exist between the sub-grantee and the WIA Local Board? | | | | |
| 3. | Are applicable SCSEP core services at the comprehensive Career Center outlined in the MOU? | | | | |
| 4. | Is there a referral process identified and described in the MOU? | | | | 641.220 SCSEP resources are to be used to provide SCSEP services to SCSEP eligible individuals. SCSEP is to refer ineligible individuals to the One-Stop Delivery System for services. |
| 5. | Did the sub-grantee choose to arrange a reciprocal arrangement in the MOU? | | | | 641.230 In an MOU, reciprocal arrangements can be negotiated between SCSEP and the One-Stop Delivery System to accept each other's assessment to determine need for services in SCSEP and Adult Programs under Title IB of WIA |
| 6. | Does the sub-grantee distribute Career Center handouts to customers | | | | 641.210 SCSEP is required to make arrangements though the One-Stop Delivery System to provide eligible individuals with access to other activities carried out by WIA partners at the Career Center. |
| 7. | Do the recruitment and selection procedures reflect the sub-grantee is seeking to enroll Minorities? | | | | 641.515 Each grantee or sub-grantee must develop methods of recruitment and selection that assure that the maximum number of eligible individuals will have an opportunity to participate in the program. |
| 8. | Do the recruitment and selection procedures reflect the sub-grantee is seeking to enroll Limited English speaking eligible individuals? | | | | 641.515 |
| 9. | Do the recruitment and selection procedures reflect the sub-grantee is seeking to enroll those with the greatest economic need? | | | | 641.515 |
| 10. | Are Host Agency agreement files being maintained in accordance with SCSEP program regulations? | | | | |

SCSEP Monitoring

Sub-recipient _____

Reviewer _____ Date of review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____ Date: _____

Program Questionnaire SCSEP

| Question | | YES | NO | N/A | Parameters |
|----------|---|-----|----|-----|---|
| 11. | Is there feasible evidence that the sub-grantee is adhering to the priorities and preferences when examining participant characteristics? | | | | In accordance with 641.520 , sub-grantees should select qualified individuals. |
| 12. | Does the project have a waiting list? | | | | 641.520 |
| 13. | Do participant files show accurate computation of family income, using the inclusion and exclusion listed in the SCSEP Regulations? | | | | 641.530 |
| 14. | Is there a policy/procedure for immediate or 30-day terminations due to incorrect determination of eligibility? | | | | 641.530 |
| 15. | Is there a written grievance policy for complaint resolution for employees, sub-recipients, and participants | | | | 641.530 |
| 16. | Is there documentation in the file that the applicant was referred to other services when found ineligible for SCSEP services? | | | | 641.530 |
| 17. | When a participant is terminated for cause, is there proper documentation in the file? | | | | 641.530 |
| 18. | Is there documentation in the file that SCSEP participants are offered a free annual physical examination referral? | | | | 641.530 |
| 19. | Is the Confidential Income Statement used for both application and recertification? | | | | 641.530 |
| 20. | Is eligibility documentation in the participant files? | | | | 641.530 |

SCSEP Monitoring

Sub-recipient _____

Reviewer _____ Date of review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____

Date: _____

Program Questionnaire SCSEP

| Question | | YES | NO | N/A | Parameters |
|----------|--|-----|----|-----|--|
| 21. | Is there an I-9 Employment Eligibility Form on file for each participant enrolled? | | | | 641.520 |
| 22. | Is orientation provided to new participants at the time of enrollment or prior to the first day at a host agency and compensated? | | | | 641.535 When Individuals are selected for participation in SCSEP, the grantee or sub-grantee is responsible for providing the following. |
| 23. | Is there an IEP in the file documenting a complete assessment and plan for the SCSEP participant? | | | | 641.535 |
| 24. | Is there documentation that the host agencies and supervisors have been provided orientation? | | | | 641.535 |
| 25. | Is there documentation that a Participant Handbook is provided to SCSEP participants? | | | | 641.535 |
| 26. | In the participant's file, is there a copy of the Participant Task Form dated and signed on or before the Participants first day at a host agency? | | | | 641.535 |
| 27. | Does the project assess each new participant to determine the most suitable SCSEP assignment for that individual? | | | | 641.535 |
| 28. | Is the assessment made in consultation with the participant and does it consider the individual's preference of occupational category, work history, skills, aptitudes, and potential for performing proposed community service duties ? | | | | 641.535 |
| 29. | Does the assessment consider the potential for transition to unsubsidized employment? | | | | 641.535 |
| 30. | Does the project seek a community service employment assignment which permits the most effective use of each participant's skills and aptitudes? | | | | 641.535 |

SCSEP Monitoring

Sub-recipient _____

Reviewer _____ Date of review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____

Date: _____

Program Questionnaire SCSEP

| Question | | YES | NO | N/A | Parameters |
|----------|---|-----|----|-----|---|
| 41. | Does the project evaluate each participant to determine potential for transition to unsubsidized employment and the appropriateness of participant's current community service employment assignment? | | | | 641.535 -615-590 Grantee's and Sub-Grantee's responsibility to the SCSEP Participant |
| 42. | Does the project develop alternate assignments, whenever feasible, if it is determined that a different community service employment assignment will provide greater opportunity for the use of the participant's skills and aptitudes, providing work experience which will enhance the potential for unsubsidized employment? | | | | 641.535 -615-590 |
| 43. | Are the assessments and evaluations required by this section documented and part of the participants file? | | | | 641.535 -615-590 |
| 44. | Is the Individual Employment Plan (IEP) developed within 3 months of enrollment for each participant and include the assessment? | | | | 641.535 -615-590 |
| 45. | Does the project evaluate the progress of the participant at least once a year? | | | | 641.535 -615-590 |
| 46. | Are there specific goals and completion dates included in the IEP ? | | | | 641.535 -615-590 |
| 47. | Are progress review dates noted in the IEP? | | | | 641.535 -615-590 |
| 48. | Are there signed agreements between the participant and project in the file? | | | | 641.535 -615-590 |
| 49. | Is the original IEP maintained in the participant's file? | | | | 641.535 -615-590 |
| 50. | Are participants receiving daily supervision at training sites? | | | | |

SCSEP Monitoring

Sub-recipient _____

Reviewer _____ Date of review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____

Date: _____

Program Questionnaire SCSEP

| Question | | YES | NO | N/A | Parameters |
|----------|---|-----|----|-----|--|
| 51. | Are supervisors ensuring that no participant works more than the compensated number of hours per day? | | | | |
| 52. | Are participants compensated for extra hours? | | | | |
| 53. | Are supportive services being provided to assist participants in subsidized and, where appropriate, in unsubsidized employment? | | | | 641.545 The grantee or sub-grantee may provide or arrange for support services to assist participants in participating in SCSEP such as paying transportation, healthcare/medical, job related i.e.: shoes, badges, uniforms, eyeglasses, tools, child care, adult care, temp shelter, and follow-up services cost. |
| 54. | Are supportive services obtained at no cost or reduced cost to the program? | | | | 641.545 |
| 55. | Are grant funds used to subsidize participants transportation cost? | | | | 641.545 |
| 56. | Is transportation obtained at no cost or reduced cost to the program. | | | | 641.545 |
| 57. | Is training being provided in job seeking skills in preparation for unsubsidized placement? Date the job seeking skills training was provided. | | | | 641.540 The grantee or sub-grantee must arrange skill training that is realistic and consistent with the participant IEP and that the most effective use of skills and talents. This does not apply to training received as part of a community service assignment. |
| 58. | Is the assessment process being used to determine individual participant training/education needs? | | | | 641.540 |
| 59. | Has training/education been made part of the participants IEP? | | | | 641.540 |
| 60. | Are host agency community service activities provided, and clearly spelled out in the participant job description and IDP and not confused with training? | | | | 641.540 |

SCSEP Monitoring

Sub-recipient _____

Reviewer _____ Date of review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____ Date: _____

Program Questionnaire SCSEP

| Question | | YES | NO | N/A | Parameters |
|----------|--|-----|----|-----|---|
| 61. | Are training records kept in accordance with TDLWD/SCSEP policy? | | | | 641.540 |
| 62. | Have all training/education costs expended during the current year been described in a detailed sub-grant work-plan/budget or been approved in writing by the state coordinator? | | | | |
| 63. | Are participant meetings held quarterly and are they documented? | | | | |
| 64. | Are there documented copies of agenda and sign-in sheets for quarterly participant meetings? | | | | |
| 65. | Can the sub-grantee produce documentation of training hours being tracked on each participant? | | | | |
| 66. | Can the sub-grantee produce documentation of 6 month follow-up on all participants that have obtained unsubsidized employment? | | | | 641.555 For participants placed in unsubsidized employment, the grantee must make contact during the first 6 months to determine if support services are needed to remain in the job. |
| 67. | Are customer satisfactions surveys on file for participants that have completed 30days of subsidized employment? | | | | 641.555 |
| 68. | Does it appear that the placement goal will be achieved by the end of the grant period? | | | | 641.560 Grantees are encouraged to work with the most difficult to place and refer job ready individuals to the Career Center. |
| 69. | If there is a deficiency in meeting the goal is there corrective action documentation on what steps will be taken to meet the goal | | | | 641.560 |
| 70. | Was the unsubsidized placement goal met last year? | | | | 641.560 |

SCSEP Monitoring

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Reviewer_____Date of review:_____

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Date:_____

Date:_____

Program Questionnaire SCSEP

| Question | | YES | NO | N/A | Parameters |
|----------|--|-----|----|-----|--|
| 71. | Are private and public sector employers contacted directly to identify and develop suitable job openings for SCSEP participants? Are these efforts being documented? | | | | |
| 72. | Are participants being referred to and attending Job Fairs/Job Clubs/WIA One Stop System been used to assist in meeting placement goal. | | | | |
| 73. | Is job search assistance being provided to participants? | | | | |
| 74. | Is follow-up being conducted with the participant within the first six months to determine if support services are needed to maintain employment? | | | | |
| 75. | Is follow-up being conducted with the participant to establish placement and delivery of customer service survey if applicable? | | | | |
| 76. | Do follow-ups conform to USDOL requirements? | | | | |
| 77. | Are initial physical examinations offered to each participant? | | | | 641.565 Participants wages are based on the highest applicable minimum wage for time spent in orientation, training, and work in community services assignments. |
| 78. | Are additional physical examinations offered at least once a year or before fifteen continuous months? | | | | |
| 79. | Are physical examinations obtained at no cost to the project whenever possible ? | | | | |
| 70. | Has the maximum duration of enrollment been established and approved in the grant agreement? | | | | 641.570 |

SCSEP Monitoring

Sub-recipient _____

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Date: _____

Program Questionnaire SCSEP

| Question | | YES | NO | N/A | Parameters |
|----------|---|-----|----|-----|---|
| 81. | Has a limit on the amount of time at each agency been established and approved in the grant? | | | | 641.575 A Grantee may establish a limit on the amount of time its participants may spend at each agency. Such limits should be established in the grant agreement and reflected in the IEP. |
| 82. | Does the sub-grantee have a termination policy on file? | | | | 614.580 |
| 83. | During orientation and throughout participation, are participants informed and reminded of the non-employment status of community service activities? | | | | 641.590 |
| 84. | Is the project over-enrolled? | | | | |
| 85. | Is the project monitoring spending levels during the grant year? | | | | |
| 86. | Is there a procedure in place that governs implementation of the provision against activities utilizing SCSEP funds? | | | | 641.833 – 641.836 |
| 87. | Is there documentation that SCSEP staff and participants are informed that they are prohibited from participating in political activities while on the job? | | | | |
| 88. | Are project funds used in any way to support union activity? | | | | 641.839 No funds provided under the Act may be used in any way to assist, promote, or deter union organizing. |
| 89. | Are any participants paying union dues? | | | | |
| 90. | Is the project ensuring for it and host agencies conformance to nepotism requirements? | | | | 674.841 No grantee or sub-grantee may hire, and no host agency may be a work site for a person who works in an administrative capacity, staff position, or community service position funded under Title V or this part if a member of that person's immediate family is engaged in a decision-making capacity (whether compensated or not) for that project, subproject, grantee, sub-grantee or host agency. |

SCSEP Monitoring

Sub-recipient _____

Reviewer _____ Date of review: _____

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Date: _____

Date: _____

Program Questionnaire SCSEP

| Question | | YES | NO | N/A | Parameters |
|----------|---|-----|----|-----|--|
| 91. | Does the project have written personnel policies and procedures to include grievance procedures? | | | | 641.910 Each grant must establish, and describe in the grant agreement grievance procedures for resolving complaints, other than those which cannot be resolved within 60 days under the grantee's procedures, may be filed with the Chief, Division of Older Worker Programs, E & T Administration, U.S. Department of Labor, 200 Constitution Ave., N.W. Washington, D.C. 20210 |
| 92. | Are grievance procedures followed? | | | | |
| 93. | Have any complaints been filed this grant year? | | | | |
| 94. | Are complaints documented and filed? | | | | |
| 95. | When a project decides to take adverse action against a participant, does the Project Director notify the state coordinator prior to taking any action? | | | | |
| 96. | Was adverse action initiated against any participants during the previous program year? | | | | |
| 97. | Have there been any reports or accusations of suspected discrimination brought to the attention of project staff? | | | | |
| 98. | Have all project staff been trained in ensure compliance with ADA? | | | | |
| 99. | Does the project ensure that nondiscrimination assurances are included in all contractual agreements? | | | | |
| 100 | Is there documentation reflecting that host agencies is aware of the Maintenance of Effort requirements? | | | | 641.844 Maintenance of Effort |

SCSEP Monitoring

Sub-recipient _____

Reviewer _____ Date of review: _____

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Date: _____ Date: _____

Program Questionnaire SCSEP

| Question | | YES | NO | N/A | Parameters |
|----------|---|-----|----|-----|--|
| 101. | Are participants' working assignments a substitute for non-Title V work that should be performed by the regular employees of the host agency? | | | | |
| 102. | Are there any MOE violations? | | | | |
| 103. | Are the expenditures charged to Title V reasonable (based on allocation formula)? | | | | 641.884 SCSEP recipients must follow the grant closeout procedures at 29 CFR 97.50 or 29 CFR 95.71 as appropriate. TDLWD will issue closeout instructions to projects as necessary. |
| 104. | Does the accounting system have cost codes to separate Title V from other programs? | | | | |
| 105. | Does the project have a system for allocating cost to the appropriate cost category? | | | | |
| 106. | Does the project have a system for monitoring planned vs. actual cost and for taking corrective action? | | | | |
| 107. | Has the project earned any program income? | | | | |
| 108. | Does the Project Office accounting system provide adequate cost data to the Project Director? | | | | |
| 109. | Did the project comply with all closeout procedures required by the Legal Agreement? | | | | |
| 110. | Has the project submitted accurate monthly and quarterly financial reports on a timely basis? | | | | |

SCSEP Monitoring

Sub-recipient _____

Reviewer _____ Date of review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____ Date: _____

Program Questionnaire SCSEP

| Question | | YES | NO | N/A | Parameters |
|----------|--|-----|----|-----|------------|
| 111. | Do all financial reports include accruals ? | | | | |
| 112. | Does the sub-sponsor charge indirect cost to the grant? | | | | |
| 113. | Does the sub-sponsor use an approved indirect cost rate for charging indirect cost to the grant? | | | | |
| 114. | Does the rate agreement cover the period of performance for the current grant? | | | | |
| 115. | What is the rate? | | | | Rate: |
| 116. | Were there any administrative findings in the last audit report? | | | | |
| 117. | Has the project taken corrective action to resolve the findings? | | | | |
| 118. | Has a final Findings & Determination (F&D) been made? | | | | |
| 119. | Were any cost disallowed? | | | | |
| 120 | Is staffing in accordance with approved contract agreement and budget? | | | | |

SCSEP Monitoring

Sub-recipient_____

Reviewer_____Date of review:_____

Executive Director Signature:_____Fiscal Director Signature:_____

Date:_____Date:_____

Program Questionnaire SCSEP

| Question | | YES | NO | N/A | Parameters |
|----------|--|-----|----|-----|------------|
| 121. | Are job descriptions available? | | | | |
| 122. | Does the project maintain on-site Organizational Charts? | | | | |
| 123. | Does the project maintain on-site Position Descriptions? | | | | |
| 124. | Does the project maintain on-site Time Sheets? | | | | |
| 125. | Are there posting of appropriate posters (political activity limitation, EEO, etc.) in the project office? | | | | |
| 126. | Is there documentation that the project is continuing to seek out new Host Agencies? | | | | |
| 127. | Has the project provided orientation and training to host agencies? | | | | |
| 128. | Is the project following plan of action as outlined in the Grant Narrative? | | | | |
| 129. | Has the staff implemented recommendations for any corrective action? | | | | |
| 130. | Are members of the staff familiar and knowledgeable of the Grant's plan of action? | | | | |

SCSEP Monitoring

Sub-recipient_____

Reviewer_____Date of review:_____

Executive Director Signature:_____Fiscal Director Signature:_____

Date:_____

Date:_____

Program Questionnaire SCSEP

| Question | | YES | NO | N/A | Parameters |
|----------|--|-----|----|-----|------------|
| 131. | Are the monthly and Quarterly, Financial and Programmatic, Reports submitted to the TDLWD accurately and in a timely manner? | | | | |
| 132. | Are there consecutive time sheets properly signed for each preceding pay period? | | | | |
| 133. | Is there evidence that a wage of at least the current Federal or State minimum wage, whichever is higher is being paid participants? | | | | |
| 134. | Are hours worked tracked cumulative? | | | | |
| 135. | If applicable, are annual and /or sick leave time accrued accurately and are records kept? | | | | |
| 136. | Are there two valid signatures (Participant and Supervisor) on each time sheet? | | | | |
| 137. | Does the participant file contain the Applicant/Participant Form jointly signed by the applicant/participant & interviewer? | | | | |
| 138. | Does the participant file contain the Community Service Form? | | | | |
| 139. | Does the participant file contain the Confidential Income Statement jointly signed by the applicant/participant & interviewer? | | | | |
| 140. | Does the participant files contain the Recertification | | | | |

SCSEP Monitoring

Sub-cipient _____

Reviewer _____ Date of review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____

Date: _____

Program Questionnaire SCSEP

| Question | | YES | NO | N/A | Parameters |
|----------|---|-----|----|-----|------------|
| 141. | Does the participant file contain the Applicant's Confidential Statement at Recertification? | | | | |
| 142. | Does the participant file contain the Initial Assessment Form? | | | | |
| 143. | Does the participant file contain the Annual Assessment? | | | | |
| 144. | Does the participant file contain the Individual Employment Plan? | | | | |
| 145. | Does the participant file contain Goals, Support Services, and Training? | | | | |
| 146. | Does the participant file contain the IEP Follow up/Review? | | | | |
| 147. | Is the physical, reexamination, and/or waiver kept separately according to ADA requirements? | | | | |
| 148. | Is there an exit form present? | | | | |
| 149. | Does the participant file contain the proper documentation when there is Termination for cause? | | | | |
| 150. | Does the participant file contain Unsubsidized Placement Follow-up? | | | | |

SCSEP Monitoring

Sub-recipient_____

Reviewer_____Date of review:_____

Executive Director Signature:_____Fiscal Director Signature:_____

Date:_____

Date:_____

Program Questionnaire SCSEP

| Question | | YES | NO | N/A | Parameters |
|----------|--|-----|----|-----|------------|
| 151. | Was there a Participant Training Description at the Host Agency? | | | | |
| 152. | Has the project established written policies relating to compensation for scheduled work hours during which an applicant's or sub-recipient's business is closed for Federal Holidays? | | | | |
| 153. | Do you have the orientation documentation on the Host agency? | | | | |
| 154. | Do you have the orientation documentation on the Grievance Procedure? | | | | |
| 155. | Are there records of Supportive Services including Quarterly participant meetings, job seeking skills training, etc. | | | | |
| 156. | Are the Participant Performance Evaluations on file? | | | | |
| 157. | Are the Host Agency and Participant documents on file? | | | | |
| 168. | Is there a monitoring form on file ? | | | | |
| 159. | Are Host Agency File Verifications included? | | | | |
| 160. | Does the Host Agency Agreement included the FEIN ? | | | | |

SCSEP Monitoring

Sub-recipient_____

Reviewer_____Date of review:_____

Executive Director Signature:_____Fiscal Director Signature:_____

Date:_____

Date:_____

Program Questionnaire SCSEP

| Question | | YES | NO | N/A | Parameters |
|----------|--|-----|----|-----|------------|
| 161. | Do the files contain required copies of source documentation to prove Age, Income Sources, and Family Size? | | | | |
| 162. | Do the files contain a copy of the income tax form? | | | | |
| 163. | Does the project have adequate public liability and other appropriate forms of insurance as stated in the Grant Agreement? | | | | |
| 164. | Does the project have Workers' Compensation Insurance? | | | | |
| 165. | Does the project have Occupational Diseases Insurance? | | | | |
| 166. | Does the project have Employer Liability Insurance? | | | | |
| 167. | Does the project have General Liability Insurance? | | | | |
| 168. | Does the project have Automobile Liability Insurance? | | | | |
| 169. | Are there written travel procedures? | | | | |
| 170. | Do the travel expenses charged to the sub-grant meet the requirements of the Grant? | | | | |

SCSEP Monitoring

Sub-recipient _____

Reviewer _____ Date of review: _____

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Date: _____ Date: _____

Program Questionnaire SCSEP

| Question | | YES | NO | N/A | Parameters |
|----------|--|-----|----|-----|------------|
| 171. | Does the project have a copy of the latest Equitable Distribution Plan? | | | | |
| 172. | Does the project have a copy of the latest State Plan? | | | | |
| 173. | Is the sub-grantee using the IEP in determining when it is appropriate to rotate participants through assignments, with the goal of achieving unsubsidized employment? | | | | |
| 174. | Is there a written policy setting forth actions to be taken to deal with those found to be ineligible, including notification of their right to appeal the finding ? | | | | |
| 175. | Is the project obtaining a written waiver from each participant who declines to have a physical? | | | | |
| 176. | Has the project established written policies relating to necessary sick leave that is not part of an accumulated sick leave program? | | | | |
| 177. | Is there an IEP Termination policy on file? | | | | |
| 178. | Has the IEP Termination policy been approved by DOL? | | | | |
| 179. | Are participant files being maintained for 3 years after the program year in which all follow-up activity for a participant has been completed? | | | | |
| 180. | Are participant records securely stored an access limited to appropriate staff to safeguard personal identifying information? | | | | |

SCSEP Monitoring

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Reviewer _____ Date of review: _____

Executive Director Signature: _____ Fiscal Director Signature: _____

Date: _____ Date: _____

Program Questionnaire SCSEP

| Question | | YES | NO | N/A | Parameters |
|----------|---|-----|----|-----|------------|
| 181. | Are quarterly Narrative Reports being sent no later than the 10 th after each quarter to TDLWD? | | | | |
| 182. | Has the project provided the administrative office with an MOU specifying how services will SCSEP services are provided by SCSEP partners? | | | | |
| 183. | Are medical records and criminal background checks being kept separate from participant files? | | | | |
| 184. | Are quarterly Progress and Narrative Reports being sent no later than the 10 th after each quarter to TDLWD? | | | | |
| 185. | Has the project provided the administrative office with an MOU specifying how services will SCSEP services are provided by SCSEP partners? | | | | |
| 186. | Are medical records and criminal background checks being kept separate from participant files? | | | | |
| 187. | Are SCSEP participants being assessed for computer literacy training? Is it documented in the participant file? | | | | |
| 188. | If it has been determined that the participant lacks basic computer skills are they referred to computer literacy training. Is there documentation in the participant file? | | | | |
| 189. | Are participants that have been documented as Job Ready turning in the required Job Searches? | | | | |
| 190. | Are participants that have been documented as Job Ready referred to a TN Career Center for registration assistance with the JOBS4TN website? | | | | |
| 191. | Is the Participant Services flow chart on file? | | | | |
| 192. | Is the Participant Services flow chart being used in the delivery of SCSEP Services? | | | | |